IN THE PUBLIC TRUST:

A STRATEGIC PLAN FOR THE ARCHIVES AND RECORDS MANAGEMENT SERVICES IN THE CITY OF WINNIPEG

Prepared by

Terry Cook
of Clio Consulting
Gloucester, Ontario

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"**Public Records are public property,** owned by the people in the same sense that the citizens own their own courthouse or town hall, sidewalks and streets, funds in the treasury. They are **held in trust for the citizens** by custodians.... As public property, public records may no more be altered, defaced, mutilated or removed from public custody than public funds may be embezzled or misappropriated. Indeed, because records document the conduct of the public's business — including the protection of rights, privileges and property of individual citizens — they constitute a species of public property of a higher value than buildings, equipment and even money, all of which usually can be replaced by the simple resort to additional taxes. It is the unique value and irreplaceable nature of records that given them a sanctity uncharacteristic of other kinds of property and that account for the emergence of common-law principles governing their protection."

H.G. Jones, 1980
Local Government Records

"**Of all national assets, archives are the most precious**.... They are the gift of one generation to another and the extent of our care of them marks the extent of our civilization."

Arthur Doughty, 1924
Dominion Archivist of Canada

"**Records are the lifeblood of local government**: proper management of records and information as well as efficiency and economy of operations must be recognized as hallmarks of management excellence. The price of inadequate attention to records is higher than any city or county can afford to pay."

Julian L. Mims, 1996
Records Management: A Practical Guide for Cities and Counties

Western Canada's most famous historic city, Winnipeg's culture and history [will by the year 2010] have merged to make this the most sought after tourist destination in the Midwest. ...**The city that breathes history has made history**....

Glen Murray, 1999
Mayor, City of Winnipeg, from his
"State of the City" Address

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1. Executive Summary

Winnipeg is in danger of losing its memory.

This memory loss touches two dimensions: the poor management of current records in departments necessary for efficient public administration and effective delivery of services to citizens, and an incomplete programme for historical records so that citizens may, through a shared past, find roots for the present and imagine together a better future. Without sharpened memory, collective senility in public bodies occurs as in the personal sphere, and the results similarly impair healthy functioning and clear perspective. On the occasion of the City's 125th anniversary and its prestigious hosting of the Pan-Am Games (with their many records now needing care), the Records Committee felt the time was right to address these memory issues and so commissioned this report.

This study suggests strategic directions to enhance the management of both current records and historical archives. It seeks to respect the Mayor's recently articulated vision of giving Winnipeg leaner and smarter government with better services to citizens and his emphasis on heritage preservation and the unique historical character of the Gateway City. It attempts as well to respect the current limited resource base of the City, as well as the need to observe the legal requirements of the *City of Winnipeg Act*.

The proposed strategic plan has short-, medium-, and long-term phases, of roughly three years each (the first is shorter to get the infrastructure and guiding policies in place as quickly as possible). For non-specialist readers, this is set forth in section 10 of the report, and the list of recommendations in section 2.

This three-phased approach recognizes the reality that all the needed work cannot be done at once, even with the resource increases that are recommended. The most pressing priority is building an effective and accountable records management infrastructure for administrative efficiency, increased productivity, better service, and cost savings, as well as producing better future archival records. It is important to view the archival programme as much for its integrated and essential participation in the records management life cycle as for its important heritage and cultural role in civic life. Two parallel (though often interrelated) streams of invigorated activity are therefore recommended in this report for the City's archival and records management programmes.

In the first phase of the strategic plan, for the years 2000-2002, the recommended focus is on establishing a new records management infrastructure, developing records policies, and testing the new recommended approaches to managing and disposing records though pilot projects; and, for the Archives itself, on clarifying mandate issues and getting the present Archives and Records Centre operations ready to participate in a revitalized appraisal and disposition of City records, and on addressing some outstanding description and preservation concerns. In the second phase, 2002-2005, the emphasis is on launching multi-year disposition plans with one-half of the City departments and on managing electronic systems; and on expanding the Archives' activities to include all City departments' records in all media, and some private-sector records. In the third phase, 2005-2008, the emphasis is on launching multi-year disposition plans with the other half of the City departments and instituting records audits; and on extending the Archives' reach to the full extent of its mandate with private records, more aggressive outreach activities (web-site, educational, and reference services), and resolving the question of a city museum.

This strategy establishes important roles for a formally designated and accountable senior official for records management in each department, a new Records Management Council of those officials and Archives' staff, a more autonomous and renamed Winnipeg City Archives and Records Centre, and a renamed Records and Archives Committee. Several changes will required Senior Management and City Council approval, and formal codification in bylaw.

The strategy recommends a mutually beneficial partnership between senior management, line departments, and the Winnipeg City Archives rather than central regulation or command-and-control models. With such decentralized empowerment, however, comes the need for accountability frameworks and programme compliance audits to ensure implementation. The strategy also builds on the City Archives' tradition of seeking partnerships with others heritage and archival entities, and suggests additional ways through partners that may get work done at lower cost than investing directly in infrastructure and human resources.

The study will form the basis for additional reports by officials to make its findings compatible with City priorities and its strategic directions, once approved, part of the City's planning, budgetary, and operational cycles.

The direct costs of implementation are 8 new person years (7 of whom are to be professionally trained or experienced records managers and archivists) with salaries and benefits (approximately $400,000), and $30,000 annual increase in operational funds.

2. List of Recommendations

The 71 recommendations made throughout this report appear below in the same numbered order in which they appear in the body of the text for ease of reference; they are not, therefore, in priority order, but in the order in which the argument unfolds in developing this strategy:

Records Management Mandate and Infrastructure:

Recommendation 1: Each major City department should appoint a senior official responsible and accountable for managing records in all media in accordance with legislation, bylaws, and such policies and procedures as may be issued by the City Archivist and Records Manager, or through him by the Records Management Council or Records Committee. Job descriptions for this senior official should specify the portion of time (30 per cent is recommended) of this level 2 manager reporting directly to each department's CEO that shall be devoted to records management work, including sitting as a member on the Records Management Council.

Recommendation 2: The City Archivist and Records Manager, and his staff, should be the focus of professional expertise, cross-government coordination, and the production and distribution of "best practice" policies and procedures for managing records in all media. Most critically, the Archivist is the sole authority for control of the destruction of any City record and for the archival appraisal work to determine which records have long-term archival value. The City Archivist and Records Manager would be advised and assisted in this work by a new Records Management Council and the present Records Committee. The City Archivist and Records Manager should continue to report directly to the City Clerk.

Recommendation 3: The City Clerk is accountable in turn for the corporate City-wide records management function at the level of the CAO's Senior Management Committee; for presenting to that committee annual reports of the City Archivist and Records Manager, the Records Management Council, and the Records Committee; and for seeking necessary bylaw changes and funding support.

Recommendation 4: The City Auditor should help the City Archives, the Records Management Council, and the Records Committee devise a methodology for conducting programme audits or evaluations on a regular cycle of the records management function in each line department, with research assistance from the City Archives and Records Control Branch, to 1) ensure compliance with articulated corporate-wide records management policies and standards, and 2) to verify that no records have been destroyed without the formal authority of the City Archivist.

Recommendation 5: A Records Management Council of departmental senior officials responsible for records management (as outlined in section 6.2 of this report) should be established for the City of Winnipeg to address and implement the new records management strategy of this report (once approved), to share best practices and cost-effective solutions on a continuing basis, and to develop common guidelines and policies for approval by senior management and for departmental implementation. The Council collectively should be accountable through the City Clerk to the CAO's Senior Management Committee and to the Records Committee. The City Archivist and Records Manager is responsible for the daily business operations of the Council, and provides it, with his new specialized staff, a focus of expertise and project-based research. Job descriptions of all participants should be changed to reflect these new corporate responsibilities.

Priority Issues for Records Management:

Recommendation 6: The Records Management Council and the City Archives should direct a comprehensive survey of all City records in all media, based on departments conducting and updating at least annually an inventory of their recorded holdings. The survey should be repeated every three years.

Recommendation 7: Statistical information should be gathered by the City Archives from the surveys every three years to monitor the progress of records management improvements and to establish better service standards and performance benchmarks.

Recommendation 8: The departmental inventories of records in all media should form the basis of retention and disposal schedules, the means for implementing archival appraisal decisions into working reality, and the presentation of summary information to citizens in future additions of the *Access Guide to City Records*.

Recommendation 9: A high priority should be given to records scheduling (and concomitant archival appraisal) in a revitalized records management programme. Given the volume and backlog of work involved, the City Archives and the Records Management Council should first develop the necessary strategies and methodologies, then test them with three departments who have completed their records inventories, and finally extend the approach -- once honed and demonstrated across all City departments -- through a formal multi-year records disposition planning process with each department. The federal approach developed by the National Archives of Canada is a recommended model.

Recommendation 10: Multi-institutional or cross-government functional records appraisal and scheduling, based on team approaches, should be adopted for common or shared administrative and operational functions or for certain limited types of common media records.

Other Issues for Records Management:

Recommendation 11: The City should not move at this time to a common records classification system, although the *general* standards for functions-based records classification within the various departments, while respecting their individual or unique business processes, should be investigated and shared, especially for designing the information structures within office automation document management systems.

Recommendation 12: All disposition authorities and related retention periods, including their summary appearance in the next edition of the *Access Guide*, should be negotiated and signed off by the accountable senior line managers for the business function covered as well as by the department's records manager and (where this is a different person) by the RMC senior official. The accountability for setting the length of the retention period, which should be subject to audit, rests with the creating department, not with the City Archives and Records Control Branch or the Records Committee.

Recommendation 13: The *Access Guide to City Records* should be revised and issued in paper and electronic formats in 2001, and its retention and disposal information should be given the formal approval and status of a Bylaw, a process thereafter to be repeated at regular three-year intervals. The guide should also be a vehicle for conveying best practices and outlining procedures about records management and for specifying requirements concerning records destruction authority and transfer of records to the Records Centre or the Archives.

Recommendation 14: The Records Management Council should pool these various sources and other best practices, and produce a City-wide "records management manual" of policies, procedures, and standards to be used as the basis for training, programme improvement and thus cost reduction, and for developing criteria for improving practice and for compliance audits.

Recommendation 15: The Records Management Council and the City Archives should conduct research into the current national and international solutions for managing electronic records in office systems, as well as new efforts by the Provincial Archives of Manitoba and any such nascent projects in City departments, and utilize the IT expertise of Corporate Services. From the research results, a strategic plan should be developed to identify the mix of policy solutions and software appropriate for Winnipeg, obtain Records Committee and Senior Management Committee approval, and launch an implementation plan beginning with pilot projects and subsequent roll-out, with appropriate senior management support and resources, across all departments.

Recommendation 16: The City Archives with the Records Management Council, in cooperation with the IT specialists of Corporate Services and select database managers, will develop for approval by the Records Committee and Senior Management Committee a short interim policy to bring City data systems within the purview of the records management and archival programmes being outlined in this report, rather than continue their present de facto exclusion. Thereafter, records in databases should be managed, scheduled, and either destroyed or preserved as archival in conjunction with all other records relating to the business function they support.

Recommendation 17: That the City Archives and Records Management Council develop for approval and distribution a policy and guidelines for scanning or digitalizing systems that will reflect records management and archival requirements, and that the City Archivist issue at the same time a generic cross-institutional records schedule or disposition authority authorizing the destruction of certain (but not all) types of hard-copy source documents. The approach developed by the National Archives of Canada should be investigated.

Recommendation 18: The City of Winnipeg as a whole and each of its departments should develop vital records programmes and disaster preparedness and recovery plans for records as part of the first phase of this strategic plan.

Recommendation 19: The City should conduct a feasibility study of the most efficient manner and place to microfilm records, the requirements necessary to justify microfilming, and the advantages of microfilm (if any) over digitization for differing purposes (vital records copying, information diffusion, reference ease, etc.). Microfilmed records must themselves be scheduled and can only be destroyed with the City Archivist's authorization. All microfilm and record scanning proposals should come before the Records Committee for assessment and approval.

Recommendation 20: The 311 Ross building should continue to be outfitted and expanded as necessary as a Records Centre, managed by the City Archives and Records Control Branch, and that all dormant city records scheduled for eventual destruction be amalgamated and moved there; and that the 380 William City Archives building be used exclusively for storing records appraised as having permanent archival value.

Recommendation 21: The City Archives and Records Control Branch should run a full-service Records Centre, and be granted one more clerical position for this new work.

Recommendation 22: The City Archives and Records Control Branch, with the Records Management Council, should develop and implement a City-wide general "awareness" programme for all public servants concerning their roles and daily obligations in managing the City's records, as well as a more extensive training programme for those directly involved in records management units.

Resource Implications for New Records Management Strategy:

Recommendation 23: In order to resource the records management half of this strategy, the City Archives and Records Control Branch should have an increased staff complement of five (one senior and experienced records manager, three new records analysts, plus the one Record Centre clerk already mentioned in Recommendation 21 above), to be phased in with the senior records manager, one records analyst, and the clerk in the first phase of this plan, adding two more analysts in the second, with appropriate salaries and benefits provided, and an operational budget increase immediately of $15,000.

City Archives Mandate and Infrastructure:

Recommendation 24: The City Archives and Records Control Branch, while reporting to and cooperating with the City Clerk, should be mandated as an autonomous or arm's-length City-wide corporate service, rather than as a operational branch of the City Clerk's Department, in all matters relating to professional archival and records management standards and activities. In staffing, while naturally respecting City regulations that affect all departments, the City Archives should be responsible for hiring professionally trained and/or experienced archivists and records managers for its positions. The City Clerk, with the advice of the Records Committee and (as required by Bylaw 6875/96) the Chief Administrative Officer, will continue to appoint the City Archivist, but that person (once the position is next vacant) should be a senior experienced professional archivist.

Recommendation 25: Permanent archival records, once their scheduled active and dormant retention periods have expired, are transferred to the custody and control of the City Archives, which thereafter administers them on behalf of the City according to professional and legal requirements (with the exception of *FIPPA* requests).

Recommendation 26: The City Archives and Records Control Branch should be renamed The Winnipeg City Archives and Records Centre.

Recommendation 27: The City Archives should develop for approval by the Records Committee formal mission and mandate statements, and promulgate these widely in all dimensions of the new strategic initiative and in all products produced.

Recommendation 28: The City Archives should develop, for approval by the Records Committee, an acquisition strategy for private-sector archival records, in partnership with other archival institutions and associations, other planned regional documentation strategies, and the advice of the National Archives Appraisal Board.

Recommendation 29: The actual acquisition of private-sector records should to be expanded gradually in three accelerating phases, as detailed in this report. Records of the various Winnipeg school boards should be part of this initiative, subject to resource transfers to the City. The strategy and general acquisition plans and sectorial targets, but not each acquisition therein, must be approved by the Records Committee.

Recommendation 30: That departmental records shall be transferred to the custody and control (save certain categories of electronic records) at the end of their active and dormant retention periods, or after 25 years, whichever is less.

Recommendation 31: The City Archives shall be the only repository for archival records created by any City department or agency, or their predecessors, and any "pockets" of such records shall be systematically identified and transferred to the Archives physical custody and control within two years of this report's acceptance.

Recommendation 32: The City Archives should stop collecting published materials and enter into a partnership agreement with the City Libraries for the transfer of such materials already in its holdings, their future collection by the libraries, and supportive cross-references at each institution to the other's related holdings and finding aids to benefit researchers. It should maintain a small body of reference materials needed to interpret the collections.

Priority Issues for Archival Programme:

Recommendation 33: The City Archives should develop a new approach to appraising archival records based on the Canadian macroappraisal model, strategy, and methodology, adopted appropriately to municipal and Winnipeg conditions. The concepts, overall strategy and appraisal methodology must be approved by the Records Committee before implementation, and as these may be revised over time.

Recommendation 34: A summary only of the Appraisal Reports and related Records Disposition Authorities (and their schedules of retention periods) for each appraisal project should be tabled with the Records Committee on a quarterly basis for its general review, and for possible further investigation and recommendations.

Recommendation 35: The new approach to macroappraisal of City records should be an integral part of the planned approach to records scheduling and records disposition, as set forth earlier in this report, and should first be tested and honed through the same pilot projects.

Recommendation 36: New appraisal decisions and records schedules and disposition authorities, once these are in place, should also be applied to the backlog of holdings as the records are ready to move from "record centre" status to "archival" status at 380 William, in projects to be co-funded by the City Archives and the transferring department where records were not sorted at the time of original transfer.

Recommendation 37: Except in emergency cases where records are threatened with destruction (fire, flood, abolition of a function), no records should be accepted for transfer to the City Archives and Records Centre (as either a records centre dormant or archival permanent holding) that has not been appraised, does not have an authorized retention period, and is not listed according to Archives' standards and procedures. The Archives' commendable transfer, accessioning, and disposal process should be automated. Some flexibility in this approach could be shown for one-shot transfers of old records, especially abandoned ones by now-defunct units.

Other Archival Issues:

Recommendation 38: The Records Committee should review and formally approve the new procedures and forms used for the transfer and accessioning process, and approve their widespread implementation, as recommended above, across City government and their appearance in the next edition of the *Access Guide*.

Recommendation 39: No departmental record in the Records Centre holdings will be destroyed without notifying the department and obtaining its (or its successor's) approval. For records scheduled as permanent that are in the custody and control of the City Archives, should the Archives later wish to destroy the record subsequent to more refined appraisal decisions or locating duplicates, the department must be notified and be given the option of having the records returned to its custody.

Recommendation 40: A summary of the Accession Forms and any Destruction Forms for permanent archival records, but not for Records Centre records, should be tabled with the Records Committee on a quarterly basis for its general review, and for possible further investigation and recommendations.

Recommendation 41: The City Archives should explore partnerships with City departments and their IT staff for the long-term custody and preservation of permanent archival electronic records.

Recommendation 42: Archival description (and arrangement) practices at the fonds and series level at the City Archives should be changed to adhere to the RAD format. The City should plan to share its descriptions with the Canadian Archival Information Network (CAIN), should capture as much contextual information as possible about records and their creators in descriptive tools, and should not create artificial or thematic collections of records. Thematic guides to records in various fonds are useful tools for researchers, but records should never be re-arranged thematically. A language policy relating to archival description should be developed and implemented.

Recommendation 43: The City Archives should continue to exploit available grants and local Archival Studies students to aid in its arrangement and description backlog. Adherence to RAD standards will open up significant present and anticipated future funding sources for such work.

Recommendation 44: The processing and describing of the 1999 Pan-Am Games records should be funded until its completion by using temporary and contract archivists. On a priority basis, the Records Committee and City Archivist should recommend that a portion of the surplus monies left over from running the Pan-Am Games should also be devoted to defraying the cost of the Games' archival legacy by hiring temporary staff to bring order to the collection and to purchasing equipment and supplies to house and shelve it according to archival standards

Recommendation 45: The excellent specialized reference service now offered by Archives staff should continue, when requested, and limited outreach activities with school curriculum designers and history professors should be considered. Users should be consulted regarding the nature of an expanded and enhanced City Archives reference and outreach programme, but for the first years of the strategic plan, such expansion is deferred.

Recommendation 46: That consistent with its proposed increased authority, accountability, and autonomy, the Winnipeg City Archives and Records Centre should be listed prominently in all city publications and organization charts, and that a professionally designed sign, of at least equal size and appeal as those for the city libraries, denoting "Winnipeg City Archives" be erected outside the 380 William building and that the Archives' services and holdings be described to citizens and visitors in City Hall tours.

Recommendation 47: The Winnipeg City Archives must consult with the creating, transferring, or designated (or successor) department to determine whether City archival records may be released in accordance with *FIPPA* legislation and regulations. A system to review archival records for release must be implemented, and the access status of series of non-exempted or older records should be clarified as soon as possible. Once a record has been cleared, it may subsequently be released by the Archives. The Archives administers access to non-City private-sector archival records according to the terms of negotiated donor agreements.

Recommendation 48: The Archives should create a "Friends of the Winnipeg City Archives" to support fund-raising, community outreach, and volunteer coordination, and should also investigate independent fund-raising to support archival activities.

Recommendation 49: The City Archives should automate its RAD-compliant fonds and series descriptions once these are prepared, plus migrate its word-processing item-level lists, into a database format with HTML-export capability for future web site and network participation within the Canadian archival system. It should seek CCA funding to support this work in its initial start-up phases at least.

Recommendation 50: The City Archives should create a web site describing the institution, its operations, and research procedures; mapping its archival holdings in RAD-compliant multi-level descriptions; posting scanned documents featuring collection highlights and famous Winnipeg documentary stories or "packages;" and disseminating records management policies, "best practice" procedures, and formal retention and disposal instruments.

Recommendation 51: The City Archives, reflecting its similar work with the Records Management Council for managing current operational electronic records, should conduct additional research into provincial, national, and international solutions for managing electronic records in an archival environment, and use the results to establish a viable electronic records programme capacity for archiving systems data, electronic office records, and special electronic multimedia. A strategic plan outlining the various required stages or steps of such a programme, and its phased implementation, should be developed and tabled at the Records Committee for approval. In the interim, experimental pilot projects should be undertaken with select transferred data.

Recommendation 52: The City Archives should develop a work plan for implementing all the recommendations of the Ridgen Report on conservation, including guidelines for staff and researchers, and progress should be monitored by the Records Committee.

Recommendation 53: The City Archives should develop a conservation policy relating to storage, processing, and handling of archival records that incorporates the best practices of leading archives and various published preservation standards.

Recommendation 54: The City Archives should have a disaster preparedness and recovery plan for all permanent archival records located at the 380 William facility.

Recommendation 55: The City Archives should establish a conservation partnership with the Provincial Archives of Manitoba and freelance conservators to repair damaged City archival records, develop selection criteria and methods for identifying records needing such treatment, and keep a separate preservation budget to ensure such work is done regularly.

Recommendation 56: For this partnership work of providing an external conservation service for the City Archives collections, as well as on-going expenses for implementing the improvements in the Ridgen Report, there should be an annual increase in the operational budget of the City Archives of $12,000.

Recommendation 57: Further exploration of partnering for preservation and display of archival material is encouraged, so long as the Archives receives suitable credit for the use of its materials, and the benefits gained outweigh the costs or disadvantages.

Recommendation 58: Operational microfilming (or scanning) of active records by departments should be their responsibility. Economies of scale and consolidation in this regard, perhaps through the Public Works facility, are encouraged, and should be investigated by the Records Management Council.

Recommendation 59: The microfilming facilities at the City Archives should be maintained and used only to film permanent archival records requiring preservation filming to protect the originals. The City Archives should develop an annual and five-year microfilming plan to make steady progress on the most threatened materials.

Recommendation 60: The Winnipeg City Archives should remain headquartered in the 380 William facility for the foreseeable future. The Archives should therefore plan to rationalize its collections, gradually moving temporary, long-term retention, dormant records to the Records Centre at 311 Ross and then reorganizing the stack and work areas accordingly at 380 William to house permanent archival records in the best possible conditions. All future accessions should be similar divided.

Recommendation 61: The Winnipeg City Archives and Records Centre, with its many competing and expanding demands, will require more formal management structures: its manager and staff should plan work and resource allocations carefully and collegially on an annual basis, should both review progress formally and communicate on team projects on a monthly basis, and should report formally on a quarterly basis against the work plan to the Records Committee, as well as in a formal annual report to the Records Committee and, through the City Clerk, to the Senior Management Committee.

Recommendation 62: The City should recognize the need to staff the City Archivist, and Archivists (as they should be styled), as well as Records/Information Analysts, as permanent, professional positions with individuals educated in archival or information studies graduate degree programmes. Training and career mobility should be studied to determine how to shape and retain the best possible staff to do the increasingly complex and expanding work.

Resource Implications of new City Archives' Initiatives:

Recommendation 63: In order to resource the archival half of this strategy, the Winnipeg City Archives and Records Centre should have an increased staff complement of three new archivists (two in phase one, one more added in phase two), with appropriate salaries and benefits provided, and a supporting operational budget increase of $3,000 (plus the $12,000 for conservation work already mentioned in Recommendation 56). Present staff levels should be retained, with no further attrition.

The "Museum Collection" and a Winnipeg City Museum:

Recommendation 64: The City of Winnipeg should study the long-term feasibility with federal and other partners of establishing a fully operational City Museum or Winnipeg Heritage Centre, in close association with the City of Winnipeg Archives.

Recommendation 65: The City Archives should remove all recorded or documentary items -- paintings, photographs, oversized maps, postcards -- from the so-called "museum collection" and integrate these, after appraisal, as permanent archival records. The objects or artifacts in the"museum collection" that are not documents should continue to be stored by the Archives on behalf of the City pending a decision to establish a Winnipeg City Museum; if that decision is negative, the artifact collection should be transferred to some other institution or destroyed.

The Records Committee:

Recommendation 66: The Records Committee, renamed the Records and Archives Committee, is the decision-making body and accountability focus for the City's records management and archival programmes, and reports via the City Clerk to the Chief Administrative Officer and the Senior Management Committee, and via its own formal annual report directly to City Council. The Committee collectively approves all proposed bylaws and bylaw amendments relating to records management and archives before these are presented to senior management and Council.

Recommendation 67: The Records and Archives Committee is responsible for ensuring progress is made against this strategic plan, once approved, and for requiring all necessary reports, work plans, policies, procedures, and other material necessary to perform this monitoring and accountability role.

Recommendation 68: The formal membership of the Records and Archives Committee should be expanded by one to include an active, sitting departmental member of the Records Management Council. Other observers and expert witnesses are invited at the Committee's discretion.

Recommendation 69: To enhance its function, and to ensure wider and better compliance with records management and archival policies across the City, its annual report to Council and its minutes should be distributed widely among city managers and workers in records management units.

Recommendation 70: The Records and Archives Committee should approve the formal, general appraisal and destruction policies, strategies, methodologies, and selection criteria used by City Archives staff and ultimately by the City Archivist to decide which records are to be kept permanently and which are to be destroyed. The Committee should review summaries of such individual keep-destroy decisions periodically to determine that its approved general directions are being followed.

Implementation Plan for New Records Management and Archives Strategy:

Recommendation 71: Once all the recommendations in this report (including new resource levels) have been finalized and approved to meet Records Committee, Senior Management, and Council wishes, the City Archives as its first priority should study this report and place each approved recommendation (and major known processes steps for each) as an action goal into one of the seven parts of the strategic outline presented in Section 10 to create a *Strategic Implementation Plan for Records Management and Archives in Winnipeg*. This document will form the broad planning framework against which should be drafted annual work plans for the Records Management Council and the City Archives, and it will also be the central basis for monitoring progress being made towards improving records management and archives. The *Strategic Implementation Plan* itself should be approved by the Records Committee and Senior Management Committee, and its results thereafter reflected in the City's Business Plan.

3. Introduction

Purpose of Report

This study is a strategic blueprint to enhance the records management and archival programmes of the City of Winnipeg. Quite naturally, it also offers a new strategic direction for the Archives and Records Control Branch of the City Clerk's Department. These enhancements aim to achieve leaner and smarter government operations, better services to citizens, and better preservation of that priceless portion of archival heritage held in stewardship by the City, and germane to Winnipeg, Manitoba, and Canada's history.

A secondary but important purpose is to recommend a realistic strategic plan within the context of the City's current political, economic, and administrative realities. The report accordingly sets forth achievable goals for necessary improvements to move the archives and records management programmes along to the next steps in their on-going development; it does not map out some scholarly ideal or "absolutely best case" situation that clearly is not achievable with the current resource situation in Winnipeg.

The study has been commissioned to meet the need identified by senior Winnipeg officials for change in both archives and records management. As such, the report is aimed primarily at those officials, and then at staff in the City Archives and Records Control Branch, and members of the Records Committee, rather than at members of the broader public or heritage and archival communities, despite the large stake these broader communities have in the success of these programmes and their cooperation with the author of this study.

Methodology and Limitations

Methodology: This report is based primarily on interviews conducted with 21 people in Winnipeg's municipal government, plus the Records Committee collectively, during ten days in June and September 1999; on an analysis of numerous City reports and documents; and on an inspection of the City Archives' internal operations and procedures. An additional 10 people were interviewed in the broader archival and heritage communities in Manitoba to get a flavour of the client base and potential partners. Beyond that, 13 archivists were interviewed, for comparative purposes, in select municipal archives in Canada (Vancouver, Toronto, Saskatoon, Vaughan, and Ottawa) and in Australia (Adelaide and Sydney). A list of all 44 people interviewed, or contacted at length, plus the Records Committee, appears in Appendix A at the end of this report. This information was supplemented by additional research in the professional literature and by the author's personal knowledge of national and international archival issues (on the author, see Appendix D of this report).

To understand records management operations in City departments, this report, by design, relies heavily on a companion study. As a explicit complement to the present work, the City commissioned a study on the state of records management in Winnipeg's municipal government. Rather than attempt an analysis in detail of each of the City's departments and other record-generating administrative structures, the City decided that one major department should be chosen for study in depth. "*Records Management Review of the Property & Development Services Department*" by Cynthia V. Kent, submitted in June 1999, was the result (hereafter called the Kent Report). Her excellent report should be considered as an integral part of the present study. It was supplemented by the author of this present report testing its conclusions with various city officials and the Records Committee.

Drafts of this report have been circulated for comment to some staff of the City Archives and to members of the Records Committee. The comments received, while very helpful, have not interfered with the independence of the consultant in developing his own conclusions about archives and records management in the City of Winnipeg.

Limitations: This report is a strategic plan, written, as requested, as a very broad-brush, "upper level" analysis that sets goals and general directions, with supporting arguments. It is not an implementation plan, let alone a detailed procedural manual for either archives or records management, much as both are required (suggestions are offered below of sources to consult to develop these tools). Moreover, the report is based on personal observations and analysis, not on a detailed business process re-engineering study, and it extrapolates from individual cases (such as the Kent Report) to the whole in ways that may not be fair for all instances. Finally, this study — while produced as professionally as possible — was intended to be "quick and dirty." Given the available budget, the consultant was engaged for six weeks of service, plus expenses: two weeks "on the ground" in Winnipeg; one week visiting other archives and research centres; 1.5 weeks for additional literature and web research, and analysis of the findings; and 1.5 weeks to write and revise the report. To make optimum use of this short time-frame, the author has not cluttered the report with the usual consultant's filler of copies of mandates, bylaws, organizational charts, budgets, procedures, forms, records schedules, or business plans that are easily available elsewhere, but perhaps for some readers this may not be considered a limitation.

4. Reasons for a Change in Direction

Winnipeg's Evolving Heritage and Character

History and heritage have recently been very much on the minds of Winnipeggers . The City's 125th anniversary in 1999 saw an outpouring of celebration, commemorations, and special events, in some of which the City Archives participated. The world's spotlight on the Winnipeg's flawless hosting of the Pan-Am Games this same year leaves a multimedia recorded legacy that needs attention, and the City Archives has moved quickly to address this challenge. Themes of urban renewal and downtown revitalization are increasingly seen as public policy solutions to modern urban problems. The restoration of older historical buildings for new uses, or of entire districts like the Forks or Exchange, are part of that revitalization; and these activities add significantly to the economic health of Winnipeg, the revenues of the City, and the enjoyment of citizens and visitors.

This respect for the past is not only a 1990s phenomenon. A glance at numerous Winnipeg street names in older areas recalls the contributions of pioneers and forebears and reveals a City intent on remembering its past. Its many historic sites and markers strike the visitor, and its literary, cultural, and historical contributions are known to many Canadians. There has been very welcome expanded support for the City Archives as well. All these mark a City proud of its heritage. Just this year, in his "State of the City" address, Mayor Glen Murray called Winnipeg "Western Canada's most famous historic city," and foresees Winnipeg's culture and history making it "the most sought after tourist destination in the Midwest." He added that "the city that breathes history has made history."

These remarks reflect the spirit of the 1997 Buchwald Report, *Into the 21st Century: Arts and Culture in Winnipeg*. Culture was seen therein as an essential resource for Winnipeg and a strong contributor to the urban life through several beneficial influences or uses: direct and indirect job creation and economic development, cultural tourism, downtown and neighbourhood revitalization, civic pride, national and international profile, programming for youths and populations at risk, and improving the quality of life of citizens.

History in its many guises is very much a cultural activity as Buchwald promotes, and archives are the foundation of all such history. Safeguarding the historical/cultural resources of Winnipeg, as Buchwald notes, reflects the central vision of *Plan Winnipeg* for "a vibrant and healthy city which places its highest priority on quality of life for all its citizens." An important part of the quality of human life anywhere is having a sense of one's roots in the past and sharing community traditions with neighbours and newcomers.

All these factors indicate that there is a cultural and heritage imperative for the continued consolidation and expansion of the Winnipeg City Archives. Archives underpin all Canadian historical studies and related cultural activities. Archives are where Mayor Murray may breathe the historical air at its purest, and see the very genesis of the heritage movement in society. No historical building or heritage district is restored, for example, without extensive recourse to archives. No historic site is commemorated or historical documentary filmed without consulting archives. No genealogical family trees are populated with names without using archives. No ethnic, religious, or neighbourhood groups celebrate their past without archives. Many plays, novels, and even operas use archival sources for their historical themes. Special millennium projects, such as Vision 2000, interact closely with the Archives. Environmental assessments of properties for site development require archives. And of course all historical writing — from scholarly treatises to school texts, popular works to historic plaques -- ultimately rest on the existence of archives. Increasingly, town planners, urban geographers, First Nations advocates, environmentalists, lawyers, and lobbying groups of all kinds undertake archival research. As a former National Archivist of Canada remarked, archives are the "most precious" of all assets, "the gift of one generation to another and the extent of our care of them marks the extent of our civilization."

The City's stewardship of such assets needs improvement. While Winnipeg has made a good start in protecting its archives, the City Archives does not yet have the resources to meet the full mandate set forth in the *City of Winnipeg Act* and bylaw. With the growing societal interest in the past through history channels and "biographies" on television and bestseller lists, with the baby boomers about to expand almost exponentially the ranks of demanding genealogists (traditionally a post-55 middle-age demographic), with Winnipeg's heightened historical consciousness and pride in the City for its 125th anniversary, it is now good time for Winnipeg to address these "most precious" archival assets that the City holds in the "public trust" and to make sure that their preservation is ensured for this and all future generations.

New Directions in City Administration

There is an additional set of reasons for supporting now a strategic shift in the City's records-keeping. Under the initiative of the Chief Administrative Officer (CAO) and in the context of a new structure for City administration, Winnipeg is undertaking a major re-engineering of its government. Reducing the number of departments almost by two-thirds and staff by almost one-half, the City aims to have a more efficient administration, but also one that gives better and more focused service to its citizens. "Leaner but smarter" are the watchwords. The CAO has asked of her senior managers: "Can methods be found to supply needed services in new ways, with lower costs and high quality outcomes? How can greater flexibility, productivity and mobility be introduced? ...How can we tap the collective knowledge, imagination and creativity of our employees?" While the answers to these questions, she notes, "will be neither simple or straightforward," some directions are clear. One is thinking in terms of business functions and work processes across the administration, rather than defending stove-pipe administrative structures. The former allows streamlined, efficient, "single window" service; the latter is often a prescription for duplication, inefficiency, higher costs, and citizen or client frustration. Another is better use of partnerships and pooling of expertise to find "best practice" solutions. Still another is creative use of information technology.

For all of these, this strategic plan offers complementary direction. New approaches to archival appraisal, as recommended in this report, are based on functional analysis and functional decomposition, and there will thus be the chance to share functional expertise with City partners, identify duplication, and provide support for business process re-engineering initiatives. The central recommended mechanism in this report of a Records Management Council is the partnership and "best practice"model in full flower, and other partnerships are encouraged too. For information technology, it is critical to remember that the technology is only as good as the quality and organization of the information it manages. Garbage in still equals garbage out, and sometimes with computers even more garbage, for errors made with computerized information are sometimes less reversible than with traditional paper-based information.

To gain the advantages that the introduction of widespread information technology undoubtedly offers requires first a very good information or records management infrastructure. Winnipeg does not now have that. Moreover, as is made clear in section 6 below, well-managed records — in any medium, paper or computerized — are themselves essential to efficient and cost-effective administration, for improved decision-making, for administrative continuity, and for better service to citizens. In rejuvenating the City's records management alone, significant progress could be made towards achieving the CAO's reform objectives. Good records management is also an essential precondition to a good archival programme, for well-managed records mean more easily identifiable and better organized archival records.

Governments have also recognized — the hard-cutting Mike Harris Tories in Ontario included — that the only government unit that should be growing significantly in downsizing times is the archives; in fact, such growth is concrete proof that the downsizing is actually working! The logic is simple: as administrative functions are abandoned, as structures and programmes merge, many series and collections of records become homeless and pass to the archives as the default caretaker. Archives grow while others shrink, and archives need support in such conditions to protect these records.

Other administration imperatives now support change as well. The City's requirement to meet its legal obligations under the *Freedom of Information and Protection of Privacy Act* depend on good records being created, indexed, maintained, and preserved. Beyond that, the very rights of citizens -- past and present -- are protected by records and archives. In this way, records are truly a "public trust" held in stewardship on behalf of the citizen. And governments accountability also rests on reliable record-keeping system, without which accountability no genuine democracy or social cohesion can really exist.

The desire for good government -- and for restructured, rejuvenated government — in Winnipeg thus joins cultural and heritage factors in suggesting that the time is ripe to invest, modestly but effectively, in new strategies for records and archival management.

5. Evolution of the City Archives and Records Centre

Legal Framework and Mandate

There is a good enabling legislative framework for the City Archives and Records Management programmes. The *City of Winnipeg Act* of 1990 required that the City pass a bylaw "to provide for the management, retention, safe-keeping, disposition and destruction of records" and to appoint a "City Archivist." These activities require, according to the wording in the *Act*, five principal duties of the City Archivist, who shall:

- establish and administer a system of record management to serve the current and long-term requirements and interests of the city;
- organize and administer the archives of the city to preserve records that are designated by the records committee to be of enduring significance;
- acquire, preserve and make available, subject to the agreement of donors, documents relating to the history of the city;
- encourage, promote and conduct research into the history of the city through programs of information for employees of the city, organizations, persons with an interest in certain aspects of the history of the city, and the general public; and
- prepare, publish, maintain and update a guide and index to records, and make the guide and index available to the general public in all city departments.

The *Act* also requires this same bylaw to enable the establishment of a Records Committee, "which shall determine and implement policies and procedures for the management, retention, safe-keeping, disposition and destruction of records in all departments, and report annually to council." Winnipeg Bylaw 6875/96 incorporates all of these provisions of the *Act*, and also updated the records retention provisions of a 1975 Bylaw. The City is able to amend the retention provisions of the new bylaw without recourse to any amendments of the *City of Winnipeg Act* or the more general *Municipal Act*.

Structure, Activities, and Records, 1970s to 1995

Winnipeg was established as a city in 1874 and began creating records immediately, but it did not have city archives until 1977-78. Many of the surrounding municipalities that were later amalgamated into Unicity in 1972 were in a very similar situation, and their surviving records have now became part of the Winnipeg City Archives' holdings. Only St. Boniface has a local archives and heritage centre. That the records of the City Clerk's Department of Winnipeg, and of all the merged former municipalities, survived those 104 years of neglect is a tribute to the diligence and civic spirit of generations of clerking staff. It also reflects some dedicated scurrying around in the early 1970s after unicity to rescue the many abandoned records in warehouses, basements, and the like before they came to harm.

Unfortunately, departmental records were not so fortunate. Many valuable series of such records for earlier years especially have been lost, for Winnipeg itself and moreso for the surrounding municipalities. That said, the City of Winnipeg still has an incredibly rich archival heritage at the City Archives – and more yet still laying about in some departments. Few cities in Canada can match the completeness of its City Clerk's records or the assessment rolls, and this also generally holds true for the records of the surrounding former municipalities.

The beginning of an archival and records management function for the City in the 1970s reflected some keen lobbying by Winnipeg historians and the heritage communities, and the need to do something with the very large legacy of old records following unicity. Other Canadian cities were at that time also either establishing or significantly revamping their city archives. Accordingly, the splendid heritage building at 380 William, the old Carnegie Library, was set aside for storage of records and archives, and two City Clerk administrative and two clerical positions were granted. Bylaw 937/75 specified certain records retention and destruction schedules to aid in the management and disposal of current records, and a Documents Committee vetted records scheduling proposals (which committee seems to have died out in the late 1980s).

For over a decade, this small group brought admirable order to the chaos of the unicity's merged archives, without significant direction or archival training or experience. Impressive efforts were made against heavy odds to rescue records, but there were simply not enough hands to do the resulting work, and an enormous backlog of descriptive and preservation work still remains to be done. No effective records management system was put in place however. Some studies were commissioned, but then shelved without action. The 1987 recommendation for appointment of a qualified City Archivist was ignored. Similarly, the archival and records provisions of the *City of Winnipeg Act* were only slowly implemented: a City Archivist was appointed in November 1995, the required enabling bylaw for the records and archives provisions of the *City of Winnipeg Act* was passed in 1996, and the Records Committee was created and first met in June 1997. No doubt the prospect of having to respond to the new freedom of information and protection of privacy legislation accounted for these changes, as did taking on one additional professional staff member in 1996 to work on the required guide to all city records. This creation of infrastructure was important, but the key elements of the act and bylaw have barely begun to be implemented: creation of a records management system; collection of private-sector archives, and indeed archives from City departments other than City Clerk's; and an active reference and outreach programme to promote Winnipeg's history.

The Frame Report and Recent Improvements

In July 1995, Lea Frame, Director of Personnel, produced a short report, *Yesterday ... Today ... Tomorrow: Records Management & Archives in the City of Winnipeg.*" Her recommendations for a refit of the 380 William facility were largely implemented: cleaning, painting, and installing new rugs in the office and researcher areas, and office dividers for the expanded staff, as well as purchase of new computers and networking facilities. Her programme recommendations in terms of fulfilling the missing parts of the *City of Winnipeg Act* have not been met, beyond appointing a City Archivist, passing the 6875/96 bylaw, and creating the Records Committee. The present report was commissioned in June 1999 to suggest a strategy whereby these substantive issues can now be addressed.

In recent hard times, the Archives has certainly shown imagination in undertaking new initiatives. Three seem especially impressive: the Pan-Am Games records project to safeguard these very valuable records; the preparation of the *Access Guide to City Records* to meet *FIPPA* and bylaw requirements, but also to take an initial run at standardizing records disposal schedules; and the partnership with the University of Manitoba Masters-level Archival Studies Programme to use student resources and expertise as interns and contract employees. The Archives has also sought out partnerships with experts in professional associations and other institutions, and tried to do the best it could in the circumstances it faced. But it now stands at a crossroads and needs new strategic directions and professional expertise to move forward to deal successfully with the many challenges presented by past neglect, information technologies, and the terms of a broad mandate still requiring attention.

6. Records Management in the City Departments

In his 1996 book, *Records Management: A Practical Guide for Cities and Counties*, Julian Mims remarked that "Records are the lifeblood of local government: proper management of records and information as well as efficiency and economy of operations must be recognized as hallmarks of management excellence. The price of inadequate attention to records is higher than any city or county can afford to pay."

Pioneering rocket scientist Wernher von Braun quipped of his programme that "we can lick gravity, but sometimes the paperwork is overwhelming." Good records management is designed to lick paperwork into shape — with "paperwork" also understood to include maps and plans, photographs and posters, videotapes and databases, office e-mail and word processing, and spreadsheets and web sites, as well as traditional paper-based files. The focus of records management is rightly on "the creation, evaluation, storage, access, retrieval, duplication, dissemination, use and disposition of recorded information."

Another author describes recorded information as "the lifeblood, as well as the corporate memory, of virtually all organizations." This notion of corporate "memory" relates to the City's need for well-organized information to support coherent policy development over time, to deliver equitable and consistent service to citizens across space and time, to provide operational precedents (as when the 1997 Flood recovery teams used records from the 1950 innundation), to protect the City's legal and property rights over time, and to safeguard the rights of its citizens, including the rights guaranteed under the *Freedom of Information and Protection of Privacy Act* (hereafter called FIPPA), as well as to promote efficient civic administration and thus wise use of tax-payers' dollars.

Corporate memory also refers to the long-term cultural and heritage memories about Winnipeg's people and places, its famous districts and distinctive buildings, its diverse ethnic groups and ever-changing environment, its modes of transportation and its wide-ranging business developments, and of course its precedent-setting approaches to municipal government. These historical memories are based largely on archival records. Yet any archival programme for corporate and government records depends for its success almost entirely on an excellent records management system. If records are created, indexed, maintained, and disposed in a planned, systematic way, then identifying the small portion that is archival becomes very much easier. A centralized archives is itself, of course, an administrative efficiency, whereby each department does not have to develop expertise and devote resources to keeping long-term records needed by the City.

In justifying such metaphors as records being "lifeblood" and "memory" of organizations, the 1994 *Records Management Handbook* (the profession's Bible) notes that records allow an organization to control, instruct, entitle, register, notify, authorize, protect, track, insure, mandate, verify, empower, guide, explain, authenticate, and terminate -- all those familiar action verbs that typify the core work done by municipal administrations. "In sum," the *Handbook* concludes, "records permit organizations to function!"

If an organization wishes to function well, it must manage its records well. Yet, the *Handbook* laments, records and records management are usually taken for granted by most senior administrators. Records are rarely seen, in the words quoted from H.G. Jones on the frontispiece page of this report, as "a species of public property of a higher value than buildings, equipment and even money," as a corporate resource of "unique value and irreplaceable," as a sacred public trust. On the contrary, records are viewed as a "support" function, the purview of clerks and secretaries off in the basement, a necessary nuisance unworthy of full-time senior management direction and accountability, something, in short, that is useful but not central to administration. This view is wrong.

As Julian Mims notes, with such neglect, the costs of the resulting mismanagement of records are indeed high, in both "soft" and "hard" dollar figures. Poor records management means workers cannot trust record-keeping systems and this in turn leads to excessive photocopying to create duplicate (and triplicate, etc.) desk or local file series, and unnecessary microfilming and scanning, and which in turn generates increased costs for salaries, supplies, storage cabinets, and floor space, with attendant increases in costs of lighting, heating, air-conditioning, etc. Many public servants typically spend between 15 and 25 per cent of their time looking for poorly filed, or dealing with inadequate or incomplete, information, or working within the resulting office clutter — one recorded case was as high as 50 per cent of such lost time. Even a modest 5 per cent improvement in these figures through revitalized and effective records management would represent a significant cost saving -- when multiplied times the overall Winnipeg salary base of employees. With poor records management, records are also stored too long in expensive office space, rather than removed in a timely fashion to cheaper records centre storage or to the Archives, or destroyed at the earliest possible date.

The soft costs of poor records management -- certainly real, but not as evident as the above hard-budget figures per se -- involve managers and administrators not having the right information at the right time to make good, consistent, and cost-effective decisions. Duplication of functions and activities abound as a result. Service to citizens declines, gets lost in red tape, or experiences delays. Citizens accordingly lose respect for their civic government, its officials and their politicians. Poor records also mean that auditors and programme evaluators, as well as business system analysts, cannot do their work properly, thus impeding the City's stated goal for developing a leaner, smarter, more effective administration. And poor, disorganized, inadequate records renders the *FIPPA* legislation de facto null and void. And if citizens cannot hold their governments to account through FIPPA by having trustworthy access to records as evidence of the government's actions, then democracy itself is undermined, and the very fabric of civil society threatened. And if poor records management leads to poor archival holdings, then the civic bonds of pride and citizenship created by common historical experiences, a mutual heritage, and shared memories is severely undermined.

Melodramatic? Well, if the widespread use of the metaphors for records being the "lifeblood" and "memory" of organizations is at all accurate, then the converse of those metaphors means that diseased or restricted blood flow and failing memory are as critical for the health of the body politic as they are for that of the individual person, and the diseased (or dysfunctional) results are no less pleasant to contemplate in the diminished functionality so occasioned, whether corporately or individually.

Observations

The management of records in the City of Winnipeg is poor. Accordingly, the City suffers most of the disadvantages of poor records management as outlined in the previous paragraphs of this section and it misses out on the many advantages and cost savings just noted that sound records management programmes offer.

The price of the continued status quo is too high. A new Treasury Board of Canada report indicates that the average public servant spends about 25% of her or his time searching for information that is poorly or wrongly filed. With poor records management systems like Winnipeg's, this figure will be higher. Even if an improvement by one-third can be effected, that saves 8.3% of the entire salary base of the City, annually, amounting to millions of dollars. Poor records management and weak records scheduling and thus weak archival appraisal also lead to massive duplication, additional and increased storage and accommodation costs, low morale in employees, fragmented services and loss of respect for civic administration by citizens, and poor archives and thus loss of Winnipeg's history, and of its citizen's shared heritage and sense of community. This price is too high for Winnipeg to continue to pay.

It is critically important here to make a distinction, one that will also show up in terms of the holdings of the City Archives in the next section of this report. The distinction is between the records created and administered by the City Clerk's Department and those of the line departments, such as Property and Development, Public Works, Community Services, Police, and so on. The **City Clerk's records** include the "official" records of central administration — bylaws, minutes of Council and of Council's committees, related indexes, and associated assessment and taxation rolls — and in general these are very well maintained, and older series of such records are safely preserved in the custody of the City Archives. The **line department records** are – in general, as there are happy exceptions -- not well managed by their creators or preserved as archives. It is these line departmental records that are the principal focus of this section, and indeed the whole report.

That Winnipeg has poor records management practices came as no surprise to the Records Committee when the author presented these findings to its August and September 1999 meetings. The point will not therefore be excessively belaboured here, although it does need to be outlined starkly, for previous warnings have been ignored. Lea Frame noted in her July 1995 report, ... *Today ... Tomorrow: Records Management & Archives in the City of WinnYesterday ipeg"* the following comments:

> The Records Management function is administered inconsistently across the organization. Some departments have well-indexed records, while many do not; some departments have dedicated staff, while most do not; some reply on the central microfilming service, some have their own specialized microfilming unit (such as for maps and plans), and some do not microfilm records; most store inactive records in the [Archives and Records Centre, 380] William Avenue facilities, while some do not; and at least one department has storage facilities of its own, due to its high space requirements. As a consequence, access to and retrieval of records, such as would be required under an Access to Information By-law, is difficult, time-consuming, and labour-intensive.

Also in 1995, the then-City Ombudsman, Virginia Menzie, complained – in a story that made front-page headlines -- that City records were so disorganized that her investigations of citizen's complaints were significantly hampered. Despite some bright spots in terms of observing standard records procedures, she noted that "there are departments where the concept seems to be totally unknown." She added that "organizations relegate archiving [meaning the full records management life cycle of activities] to 'someday, we'll get to that.'" Since Frame and Menzie's comments were made in 1995, the subsequent and extensive downsizing of City staff (which hit records management operations disporportionally hard), and other budget restrictions, have made the situation in 1999 considerably worse.

Findings of the Kent Report. Cynthia Kent's June 1999 report, *Records Management Review of the Property & Development Services Department,* is considered to be an integral part of the present study. As noted above (section 3, under methodology), in terms of researching the records management function as part of this strategic initiative, the City decided to provide the present author with an in-depth case study of one department, which study was co-commissioned with, and designed to be supportive of, this larger project. Several of the questions Kent explored were suggested by the present author.

Since it is assumed that interested readers of this report are also familiar with the Kent Report, and since the Records Committee has concurred with Kent's findings, only a brief summary of her report is offered here. Kent found that there are very serious shortcomings evident in the City's record management programmes for paper-based textual records — in conception and in implementation. The situation is worse for photographic, graphic, and audio-visual material, although better for architectural and cartographic records. Consistent and coordinated management of automated office or desktop electronic records (outside the systems world of databases) is virtually non-existent. In the systems world, there is sound IT management, but little awareness that the contents of the databases are also records, and should also be under the general purview of departmental records managers and subject to records scheduling and possible identification as permanent records and therefore subject to transfer to (or protection for) the City Archives.

While judiciously phrased -- and offering qualifying reasons for this situation and praising the loyalty of local-level employee initiatives to make the best of a bad situation -- Kent's summary analysis is clear, as follows:

> Overall, the findings indicate that the quality of the department's records systems and the department's ability to ensure that its records are properly controlled, secured, and accessible on a timely basis continue to be significantly impacted by preceding events and changes that have taken place

within the City's administrative organization over the past five years. Attention and support given to records management functions has diminished over time, as available resources are further constrained. Records management is not a high priority, although the department is aware of the need to proceed with addressing certain issues, such as a lack of file space and improving access to common files, key decisions and subsequent actions have been deferred. This year, the department is once again faced with issues related to re-organization, staff reductions, budget cuts, *Freedom of Information and Protection of Privacy (FIPPA)* legislation, re-location of its accommodations, and the implementation of new business processes and information systems technology.

The department has yet to establish a reliable programme to ensure that it can fulfill its records management responsibilities. ...Although staff is coping with the demands of the current situation, existing filing systems are becoming less reliable and trustworthy. A strong central focus or direction does not guide the Records Management function. It is administered inconsistently across the department. There are substantial backlogs of filing and it is often very difficult to locate and access files that they require. This inefficiency is a source of frustration and stress and it has had an impact upon the department's capacity for effective service delivery.

The ability to establish a reliable program depends largely on the having a clear definition of records management responsibilities, appropriate placement of these responsibilities and having sufficient resources to implement and then support the administration of the program. On all these fronts, the current situation is viewed as being unfavourable.

The present working relationship between the Archives and the ... department appears to be cooperative where it concerns matters related to historical records and corporate policy matters, such as the application of *FIPPA*. This relationship could be less discretionary and more compelling. Both the Archives and the department could be more pro-active in fostering the development an implementation of a program for the planned disposition of records. Records management responsibilities need to be more clearly articulated and coordinated, both with the department and as they relate to the City Archivist's records management duties. As well, there needs to be a

> stronger mechanism in place for ensuring that these responsibilities are properly carried out.
>
> If the common goal is to establish and sustain a reliable records management program, staff who are responsible for the implementation of the program should have clear direction and sufficient authority to make decisions and take action as needed to fulfill their program responsibilities. Within the present context of the Property and Development Services department and the Archives and Records Centre, this appears not to be the case.

Behind these summary statements, Cynthia Kent advances a wealth of detailed analysis, division by division, in support of her conclusions. Her list of issues, projects, and tools necessary to improve the situation bear close scrutiny by readers of this report, and by the new records management regime recommended below, but will not be itemized here.

Additional Observations by the author of this report support Kent's conclusions, with some modifications. To start with, serious allegations have been made to the author of the present report that some records in the department have been improperly destroyed, and not accounted for, in violation of the *City of Winnipeg Act* and resulting Bylaw 6875/96. It should be emphasized, on a more encouraging note, that the department's senior official, who shares responsibility for directing the records management function with several other corporate functions, is aware of these weaknesses and states the desire to improve, and to have assistance in doing so from the City Archives and in partnership with other departments through sharing "best practices." The need expressed is less for day-to-day hands-on service from the Archives as strategic direction-setting, help developing policies and finding precedents, and creating good disposition tools. This reflects a broader observation by the author that records people in City departments are generally not defensive about the acknowledged records management "crisis," but are open, cooperative, and welcoming advice. They want leadership, and are frustrated by its absence. This is a strength upon which to build, and it is hoped this present report can initiate the required changes.

There is a concern that departmental records that need, for statutory reasons, to be kept permanently would be "lost" if sent to the City Archives, even though their rate of reference for operational purposes within the department, after a period of years, is very low or non-existent. Public servants are sometimes very possessive of "their" records and reluctant to pass them to central records management, let alone to the Archives. There seems little understanding of **the life cycle of any record**: 1) ***active*** for the time when the subject or case is on-going (when there are numerous additions to or recalls of the file in question) and thus retention is appropriate (at higher cost) in departmental records offices; 2) ***dormant*** for the time when the file is not actively operational but needed occasionally for reference (one recall or reference per year, or more) and is thus best stored (at much lower cost) in the City's Records Centre, but still under the control of the transferring department; and 3) ***completed*** (no or only very occasional reference of less than once per year) where the record should be transferred to the custody and control of the City Archives (where any limited reference or research on the file will occur) if it has archival value, or (if the case is closed) be destroyed if it does not have such value. Greater education of all City workers is needed to publicize this broader corporate view of the nature of records management and the role of the Archives in meeting the operational, cost-efficiency, and heritage-historical goals of city administrators, elected officials, and citizens.

There are success stories to be sure in the City's records management landscape, beyond some heroic local efforts to keep the daily paper moving in adverse circumstances that Cynthia Kent documented and the author witnessed elsewhere. The City generally has responded well to the *FIPPA* legislation by putting an infrastructure in place to locate and retrieve records for citizens, conducting internal training, and especially producing in 1998, under the initiative of the City Archives, the *Access Guide to City Records*. There are cases where departments are now recognizing the need to move to a centralized, accountable records management programme rather than allow local clerical initiative to carry the burden, as at Public Works. There are examples of automated records management control software being implemented, most notably at Community Services, and in the planning stages at Public Works. Again at Community Services, extensive departmental mergers were seized as the opportunity to attack and organize systematically the backlog of dormant records in basements, to produce training manuals for all staff about how to handle records, and to professionalize the whole records management operation. And as noted, the traditional records at the core of the City's central administration in the City Clerk's Department are well maintained. It is important to remember that a study such as this one focuses on areas necessary for improvement, and thus carries a negative tone about the status quo; there is much that is good about the records management and archival efforts of the City, not least the sense of pride of public servants wanting to do the job better if they had better and more active leadership.

When Cynthia Kent was asked by the author to summarize her report in one sentence, she wisely said regarding the City's records management, "everyone is interested; no one is accountable." As a result, there is no City-wide or corporate records management system.

What evolved locally and worked reasonably when there were 13,000 employees in 28 departments, with small file units with local responsiveness, has been dismantled by the move to 11 official departments (and some administrative areas) and staff reductions to 9,000 now, with more cuts envisioned in the Mayor's new budgetary goals. The new, bigger, merged departments do not yet have, in most cases, the infrastructure "scaled up" from the former local records units to cope with the immense volume of current records, or backlog reduction, or a planned scheduling and disposition initiative. There is little internal or external direction and no effective accountability for the records management function. There is little culture of compliance with City-wide standards (should such exist) and no effective way at present to enforce compliance. Moreover, since the City Archives in the 1970s and early 1980s annoyed several departments by an allegedly lackadaisical approach that has been summarized as "if in doubt, destroy," there is still reluctance "out there" to transfer valuable older pockets of records — photographs, plans, files — for fear that the Archives will destroy them without letting the transferring department know, or at the very least will not value them and bury them out of sight from departmental officials who may, from time to time, wish to consult the records.

Such a non-system will have trouble coping with the paper records, let alone the challenges of the electronic office revolution. It is a drag on administrative efficiency and thus cost-inefficient. The promise of a new administrative culture for Winnipeg built on wise use of information technology will not be realized unless the record substance of what goes into that technology is well managed: "garbage in" to even a fine, updated, standardized office suite is still "garbage out" at the user's or citizen's terminal. Valuable records that should be part of Winnipeg's archival heritage are also inadvertently or carelessly destroyed in such a mismanaged records universe. The notion of public records held in sacred trust for citizens, as quoted by H.G. Jones in the frontispiece, is betrayed.

Discussion and Recommendations

The strategic approach suggested below to remedy this situation has seven critical features. The first is to establish clear lines of authority and accountability, and senior management support, for the records management function; this also includes having the necessary planning and reporting mechanisms. The second is to tap into the real, but now scattered expertise across the City and build concrete solutions in partnership through a new Records Management Council. The third is to develop the necessary expertise where this is missing on several issues. The fourth is to put records control, scheduling, and disposal on a sound basis. The fifth is to make a clear distinction between the archives and records centre operations of the City Archives and Records Control Branch. The sixth is increased publicity and visibility for, and thus "buy in" and implementation of, the records management function and procedures by all of Winnipeg's municipal workers. The seventh addresses human resource issues, including staffing increases.

In all this, the City Archives' key professional staff must take an active, leadership role. Once this approach has been approved, they must push to make sure it happens and report frankly and openly all non-compliance to a senior level, so that remedial action may take place. The designated Archives' staff leading this initiative must be out in departments for a major portion of their time actively shaping the programme, not waiting passively to react to requests for advice or services or proposals for records disposition. In this latter and critical area of appraisal and the disposal of records, they should adopt a project management methodology involving a negotiated planned approach to all disposition activities. This Records Management Council (RMC) and the City Archives' involvement in it is not a one-time effort, as has occurred on several occasions in the past when the Archives convened meetings of departmental records or FIPPA officials. What is envisioned here is a sustained, on-going effort by this Council and the Archives.

6.1 ACCOUNTABILITY FOR RECORDS MANAGEMENT

Without clear accountability for record-keeping standards and their implementation, the argument has been presented above, there is no reliable way to ensure the accountability of the government as a whole. The single most important set of recommendations in this report, therefore, relate to suggesting a strategy for establishing better authority and accountability for the records management function.

While respecting the trend to decentralization in the City's government, the first need in changing the present records management system is a clearer and more accountable structure for, and cross-departmental coordination of, the records management function. The models used in Winnipeg for human and financial resource management are suggestive, with a senior official appointed in each department responsible and accountable for implementing the relevant bylaws, policies, and procedures, and with central coordination and planning provided from Corporate Services and the CAO's Office. A similar accountability structure is recommended below for the records (or information resource) management function, but not through Corporate Services and the CAO (although both have important roles). It is recommended that where this is a shared functional role, at least 30 per cent of the senior officials' time should be formally devoted in their job descriptions to records management, and the responsibilities described in this report.

Based on experience and tradition as the City's formal record-keeper and the focal point for delivery of City information to citizens, and respecting the adage of not fixing what is not broken, it is recommended that the City Archives and Records Control Branch continue to report to the City Clerk, although with more independence than in the past. The City Clerk has a close relationship with elected officials which is advantageous. The City Clerk's Department has a long and noteworthy tradition of record-keeping, long before there was a City Archives. And the City Clerk's Department has been a good supporter of enhancing archival activities through this past decade, as noted in section 5 of this report.

In this relationship, however, some cautionary notes must be sounded. Workers in City Clerk's, in terms of retrievals of their permanent archival records housed at the City Archives, should expect no more than the same service as workers in other departments. Having the City Archives and Records Control Branch, and thus the City's records management and archival functions, reporting through City Clerk's, does not mean the Archives' staff should be treated as a labour pool for that department or as a solution to personnel problems; diversion of Archives' staff to support the running of elections should be curtailed.

While the City Clerk's department does not have order power over other departments, such as might be achieved by the Archives reporting, as an alternative, directly to the Chief Administrative Officer (hereafter called CAO), the argument below is that records management improvements in Winnipeg will succeed best by partnerships through a new Records Management Council (hereafter called the Council or RMC) and by sharing best practices, not by central regulation (except for the critical control of records destruction). Nevertheless, there needs to be strong senior-level support for a revitalized records management programme from the CAO and from the Chief Executive Officers or Directors (hereafter cited as CEO) of each line department. The City Clerk as a CEO colleague must be able to command this support through the CAO's Senior Management Committee.

The model of a Chief Information Officer, as tried in other jurisdictions, such as in the province and at the federal level, is not recommended at this time, as these positions tend to focus almost exclusively on the challenges and management of information technology, not on records (or information) management. Nevertheless, to gain some of the benefits of the CIO model, it is recommended below that a senior information technology (hereafter IT) manager from Corporate Service be a member of the proposed Records Management Council.

While the *FIPPA* implementation scheme of requiring each department to name an official or contact point for locating records is a good start, too often this official is only a middle-level manager, or has additional duties for other portfolios (human resources, financial resources, etc.) and cannot focus sufficient time on, or command resources for, records issues. This needs to be changed to secure a senior focus for records management.

Recommendation 1: Each major City department should appoint a senior official responsible and accountable for managing records in all media in accordance with legislation, bylaws, and such policies and procedures as may be issued by the City Archivist and Records Manager, or through him by the Records Management Council or Records Committee. Job descriptions for this senior official should specify the portion of time (30 per cent is recommended) of this level 2 manager reporting directly to each department's CEO that shall be devoted to records management work, including sitting as a member on the Records Management Council.

Recommendation 2: The City Archivist and Records Manager, and his staff, should be the focus of professional expertise, cross-government coordination, and the production and distribution of "best practice" policies and procedures for managing records in all media. Most critically, the Archivist is the sole authority for control of the destruction of any City record and for the archival appraisal work to determine which records have long-term archival value. The City Archivist and Records Manager would be advised and assisted in this work by a new Records Management Council and the present Records Committee (see section 9 of this report). The City Archivist and Records Manager should continue to report directly to the City Clerk.

Recommendation 3: The City Clerk is accountable in turn for the corporate City-wide records management function at the level of the CAO's Senior Management Committee; for presenting to that committee annual reports of the City Archivist and Records Manager, the Records Management Council, and the Records Committee; and for seeking necessary bylaw changes and funding support.

If this accountability structure is put in place, and if good policies and procedures are developed and shared, there is still the need to ensure that departments are actually implementing what they say they are doing. There have been many good intentions expressed in the past, and the result is still the sorry state generally of Winnipeg's records management operations. It will be necessary to develop a series of performance standards and indicators and to ensure that there is compliance with them rather than lip service.

Recommendation 4: The City Auditor should help the City Archives, the Records Management Council, and the Records Committee devise a methodology for conducting programme audits or evaluations on a regular cycle of the records management function in each line department, with research assistance from the City Archives and Records Control Branch, to 1) ensure compliance with articulated corporate-wide records management policies and standards, and 2) to verify that no records have been destroyed without the formal authority of the City Archivist.

6.2 A "RECORDS MANAGEMENT COUNCIL" FOR "BEST PRACTICE" SOLUTIONS

Records management solutions cannot be declared by administrative fiat or executive order. A partnership is preferred of working professionals coming together to share experience, conduct research, and build solutions, motivated by their own self-interest in the benefits such solutions will confer on their own operations. In the deregulated environment of the federal government (very much like Winnipeg's), the National Archives of Canada created such an information management forum, as it was styled, in the mid-1990s, and it has been very successful in finding solutions, for example, for managing electronic records in automated offices, building software prototypes, controlling records in privatization or outsourcing situations, revising retention periods, and developing new job competencies and standards for records professionals, among other projects.

Such a forum or council must not a conceived as a "soft" talk-fest where people gather together to chat and feel good; busy professionals do not have time for such indulgence. Rather, the National Archives' forum is a working body, with formal annual work plans, meeting agendas and recorded minutes of decision, concrete products produced and implemented, and its own web site for sharing and diffusing information. Such a forum or council has as its motto, "Steer, Don't Row." It is emphatically not in the business of providing of free labour or rolling up the sleeves to do line operational work for which departments themselves are responsible. That is rowing. Rather, it is strategic in nature: developing policies; setting directions; establishing priorities; identifying and promulgating best practices; creating pilot projects in select departments to test new solutions; addressing training, publicity and human resources issues; and exploring and implementing records management technology solutions. That is steering. The National Archives provides expertise, of course, as well as the coordination and secretarial foundation, for the council.

When the author tested the idea with records officials in the City of such a forum or council organized in this manner, there was universal support. It was noted that, in addition to the concrete benefits of the kinds projects noted above, the isolation that records professionals feel in their own departments would be broken by this cross-department or corporate approach, which in the very "power in numbers" would enhance the role and visibility of the records management function in the City.

A "Records Management Council" is therefore proposed for the City of Winnipeg. The mandate of the RMC would be, as noted above, strategic in nature, dealing with policies, priorities, identifying or developing and then promulgating best practices; conducting research through pilot projects, and addressing human resources and technology solutions. The RMC is conceived to be a well-informed board of directors or senior steering committee, and a source of expertise. Normally, its own senior departmental officials as members will not themselves undertake the actual research projects, once these are identified by the RMC, but rather will authorize appropriate members of their records management staff to join with City Archives' staff experts on project teams to research issues, develop draft policies, explore models, etc., for the RMC to consider and approve. The RMC's first order of business would be to develop a work plan based on the approved version of this report, including addressing all the points outlined in the following sub-sections of Section 6.

The RMC should consist of the senior official accountable for records management from each department, one IT senior specialist from Corporate Services, the City Archivist and Records Manager (chair), and one senior Archives' records management specialist. Additional experts could attend and participate as observers, as required. One member of the Records Management Council should in turn sit formally on the Records Committee. The City Archivist is responsible to ensure that the RMC's formal reports, new policies and procedures, and outreach products are tabled on a regular basis (at least annually) through the City Clerk to the CAO's Senior Management Committee and to the Records Committee. This not only raises visibility and holds the Council accountable, but encourages support and "buy in" by all chief executives to the revitalized records management programme that the RMC and Archives are spear-heading. It also ensures that appropriate bylaw amendments are sponsored, where necessary.

The activities of the RMC will save money for the City. By improving its records management system, for both the "hard" and "soft" records management cost/benefits mentioned earlier in this report, the RMC significantly reduce costs and raise efficiency and accountability, albeit indirectly. There are more concrete and direct savings possible as well. By pooling needs and purchasing power, the RMC members -- and thus their departments -- can share and thereby reduce training costs, lower seats licence fees for software by having greater numbers, and work towards shared systems based on shared functionality (which is at the heart of business process re-engineering, and the new archival appraisal methods, explained elsewhere in this report). One example would be a cross-departmental property database designed around the shared function of managing land and property, which is seen as a necessary but until now allusive tool for more efficient and cost-effective management of that business process..

Recommendation 5: A Records Management Council of departmental senior officials responsible for records management (as outlined in section 6.2 of this report) should be established for the City of Winnipeg to address and implement the new records management strategy of this report (once approved), to share best practices and cost-effective solutions on a continuing basis, and to develop common guidelines and policies for approval by senior management and for departmental implementation. The Council collectively should be accountable through the City Clerk to the CAO's Senior Management Committee and to the Records Committee. The City Archivist and Records Manager is responsible for the daily business operations of the Council, and provides it, with his new specialized staff, a focus of expertise and project-based research. Job descriptions of all participants should be changed to reflect these new corporate responsibilities

6.3 A RECORDS INVENTORY

City departments have inventories of their IT systems, but often not of their records holdings, in all other media. The indifferent and evidently incomplete responses for input to the *Access Guide* reveal this, as does the Kent Report. The City Archives' staff in preparing the *Access Guide* conducted in March 1996 an abbreviated "Departmental Records Management Survey." In the very incomplete responses received, in reply to the question of how often the department inventoried its records, about half said "annually;" and half said "never" or "unknown." One may assume that those departments who did not bother to reply at all fall more into the second half. And all such inventories as were reported dealt only with records in paper file format; the survey did not ask for input on photographs, maps, plans, microfilm, electronic records, posters/art, or audio-visual records.

A comprehensive records survey or inventory is an essential component of a cost-effective records management programme. Julian Mims asserts that "improvement in records management begins with comprehension of what the records include. The best way to gain that understanding is through a records inventory." Common sense dictates that one cannot manage what one does not know one has. One cannot meet the spirit and letter of *FIPPA* requests for records if the existence or location of records is unknown. And one cannot similarly meet the City's administrative or archival requirements.

There is a major cost-benefit issue here as well. Planning effectively for managing government information of any kind means having reliable and comparative statistical data on the extent or volume and location of existing records, identification of duplication of records, the annual growth rate of the volume of records, projected forward growth rates, use patterns and retrieval rates, percentage of records for each series or category designated as archival, and volume of records designated for destruction annually and projected forward. Without such figures, and the City of Winnipeg does not have them, demonstrating the cost-benefits of an improved records management programme is impossible. Estimating the hard costs to be saved now and over time, and also in cost avoidance, by different means of records management improvement, such as lowering retention periods, finding alternate storage in expanded records centres, or more precise archival appraisal, is very useful for justifying the resources required to make such improvements — the strategic improvements, for example, as are indicated in this report. Such information also garners support for the records management function generally.

To ensure good information is gathered by a records inventorying process, the RMC and the City Archives should develop a suitable form and procedure, pilot test it with one or two departments, train all departmental officials, and provide interpretive assistance. There is no room in the present strategic report to detail how this inventorying process should be done. On how to perform a records inventory, as well as many other records management activities, two recommended guidebooks are the following:

- Julian Mims, *Records Management: A Practical Guide for Cities and Counties* (Washington, DC: International City/County Management Association [ICMA], 1996), ISBN 0-87326-110-0, which may be ordered via 1-800-745-8780; and

- Ira A. Penn, Gail B. Pennix, and Jim Coulson, *Records management Handbook: Second Edition* (Aldershot, England and Brookfield, VT: Gower, 1994) ISBN 0-566-07510-5.

Both publications may be ordered from the Society of American Archivists; its publication catalogue is on its web site at: http://www.archivists.org/ The paper-based file focus of these sources, in large part, would have to be supplemented by analogous sources for other media and electronic systems.

Recommendation 6: The Records Management Council and the City Archives should direct a comprehensive survey of all City records in all media, based on departments conducting and updating at least annually an inventory of their recorded holdings. The survey should be repeated every three years.

Recommendation 7: Statistical information should be gathered by the City Archives from the surveys every three years to monitor the progress of records management improvements and to establish better service standards and performance benchmarks.

Recommendation 8: The departmental inventories of records in all media should form the basis of retention and disposal schedules, the means for implementing archival appraisal decisions into working reality, and the presentation of summary information to citizens in future additions of the *Access Guide to City Records*.

6.4 RECORDS SCHEDULING, DISPOSAL, AND ARCHIVAL APPRAISAL

Records management has two major components. There is **the front-end:** creating the record-keeping systems to house records in a systematic and secure fashion; developing classification or indexing or metadata approaches to allow information in such systems to be found in an accurate and timely way; putting new incoming, outgoing, and internal records as these are created into such systems and indexes on a daily basis (including electronic office records); and retrieving and re-filing records on behalf of "internal" City government users and "external" citizens (subject to *FIPPA* exemptions). There is also **the back end** of the process: making sure no record is kept for too long, or too short, a period of time; obtaining internal authority to dispose of the records at the appropriate time; storing dormant or less used records in the most cost-efficient spaces; ensuring that records appraised by City Archives' archivists as archival are safeguarded and transferred to the City Archives and that no record is destroyed that does not have the authorization of the City Archivist; and destroying the remainder in a cost-efficient and security-conscious manner. This "back end" or second half of the records management function is called, depending on the source and perspective, records scheduling, applying records schedules, records disposal, records disposition, or archival appraisal. (The related archival appraisal function will be addressed in the next section of this report.).

Deciding through records scheduling the fate of each group, series, or media of records is of course at the centre of the cost-benefits savings of a good records management programme and the excellence of the related archival programme for preserving the City's most important documentary heritage. More than that, some risk management is required here too, that sometimes is difficult for too-cautious public servants to face. Records kept for too short a period of time because of too great an emphasis on cost savings or cost avoidance can thwart City business and citizen rights. Records kept too long, which is by far the greater tendency, do not just cost money. They may violate citizen's rights to protection of their personal privacy if a record is maintained longer than its specified administrative need. And should the City be sued or face other legal challenge, surviving records that should have been destroyed -- if subject to more reasonable retention periods and if the disposal had actually been carried out -- could be subject to subpoena and be used against the City's best interests.

Based on the completion of the first comprehensive records inventory described in section 6.3 above, all records schedules now in place should be reviewed, for the accuracy of their coverage (are all the records relating to a particular function on all media included?), the adequacy of their retention periods (too long, too short), and the desirability (perhaps needing revision) of their final disposal: transfer to the City Archives or destruction, or, very selectively, to some other partnership arrangement. Records not covered by record schedules should be. No destruction of any such record shall occur until there are approved record schedules or records disposition authorities in place.

Beyond scheduling individual series of records in each department, which is necessary, there is much to be gained by developing cross-government records scheduling, such as general records disposal schedules for common administrative records (records for the functions of managing financial and human resources, equipment and supplies, etc.); for transitory or temporary records; for some shared categories of electronic records; and for some shared operational functions that cross departmental lines, such as land management, zoning, recreation/tourism, etc. In a limited way, cross-institutional scheduling may also be applied to certain media -- "limited" because appraisal normally should be comprehensive for all media for a particular function, not done medium by medium. But a common disposition schedule for all posters or hard-copy input records to scanning systems are examples from federal experience of killing many scheduling birds with one stone.

The functional analysis required to do this kind of archival appraisal and thus records scheduling is also very complimentary to the CAO's intention to restructure City government around common business processes and common service delivery functions. The results of such functional research can be mutually beneficial to both restructuring and archival appraisal.

Given the volume and complexity of work involved, some strategic planning or project management approach is essential. To try to do it all at once is impossible. The City should adopt the pioneering federal example of a Multi-Year Disposition Plan (MYDP) and related processes, which is being imitated now in other countries and jurisdictions. The Records Management Council and the City Archives should research and adapt this MYDP approach to Winnipeg, with its integrated macroappraisal strategy for conducting functions-based archival appraisal, and try it as a pilot project in three departments during the first phase of the implementation of this plan. An MYDP is a project management approach to doing records scheduling and appraisal work, signed off at a senior level, in which the target department and the archives agree in advance on the nature and sequencing of each major functional disposition goal, any remedial work required first (such as completing an inventory, migrating a system, etc.), the amount of project work involved and the steps required to do it, and the resources required to be committed to get the work done according to an established timetable. There are National Archives of Canada's procedures and examples to help adapt this approach to Winnipeg.

Recommendation 9: A high priority should be given to records scheduling (and concomitant archival appraisal) in a revitalized records management programme. Given the volume and backlog of work involved, the City Archives and the Records Management Council should first develop the necessary strategies and methodologies, then test them with three departments who have completed their records inventories, and finally extend the approach -- once honed and demonstrated across all City departments -- through a formal multi-year records disposition planning process with each department. The federal approach developed by the National Archives of Canada is a recommended model.

Recommendation 10: Multi-institutional or cross-government functional records appraisal and scheduling, based on team approaches, should be adopted for common or shared administrative and operational functions or for certain limited types of common media records.

The issue of a common records or file classification system was raised with the author. The City of Ottawa has such a city-wide and automated system, with one large system of file numbers for all city records and indexing and searching capacity available on every city worker's computer terminal. Toronto is moving in this direction at a policy level. The Sydney City Archives is looking to group all record series descriptions under some twenty broad functional categories, with internal breakdowns. The City Archives is aware of these types of developments, and has two binders of municipal file classification schemes that may help those wishing to redesign their system. Undoubtedly, a common file classification scheme would help spot duplication and aid in streamlining disposition and archival appraisal. It would be also be beneficial to general City administration is facilitating functional restructuring of services. But given the many other priorities facing the City's records managers and Archives, as outlined in this report, a common file classification system is not recommended as a priority at this time. If appraisal and disposition shifts its focus from individual records and "subjects" to business processes and functions, universal record classification becomes relatively less significant (of course it remains critical locally).

Recommendation 11: The City should not move at this time to a common records classification system, although the *general* standards for functions-based records classification within the various departments, while respecting their individual or unique business processes, should be investigated and shared, especially for designing the information structures within office automation document management systems.

Commentators remarked to the author that departmental line managers do not "own" the records management and especially records scheduling processes for the very records — that famous lifeblood — of the programmes for which they are responsible. In most departments, the retention schedules, when drafted or confirmed for the *Access Guide*, were only signed off by the records manager. Some were also very general and of dubious accuracy. At the time of actual disposition of the records, because of their lack of prior involvement, line managers are surprised and often ask for extensions of the often already overly long retention periods. The process is too ad hoc. Retention periods that are too long, as noted before but worth repeating in this context, cost money, keep personal information longer than necessary, and prevent the permanent archival portion of the records from being transferred to the

Archives for ready use by researchers, and may put the City at legal risk. Retention periods should be set by careful analysis of the business processes involved, by risk assessment, and by investigation of any relevant legislation (tax acts, health and safety regulations, and so on), not in panic at the last minute to prevent records from being destroyed because such analysis has not been done — which almost inevitably leads to extension of retention periods and thus increased costs. It should be recalled that the retention categories in Bylaw 6875/96 and the retention periods in the *Access Guide* are not fixed in stone and can be amended. This actual decision-making about retention periods is the responsibility of the City's senior line managers, although the task is facilitated by departmental records managers and City Archives' staff. Getting senior managers involved and making them take seriously their personal stake in this process also raises the visibility of the importance of records management within government. Additional recommendations concerning maximum length of retention periods for records of permanent archival value and for their transfer to the City Archives are made in the next section (7.1 and 7.4 especially below).

Recommendation 12: All disposition authorities and related retention periods, including their summary appearance in the next edition of the *Access Guide,* should be negotiated and signed off by the accountable senior line managers for the business function covered as well as by the department's records manager and (where this is a different person) by the RMC senior official. The accountability for setting the length of the retention period, which should be subject to audit, rests with the creating department, not with the City Archives and Records Control Branch or the Records Committee.

6.5 ACCESS GUIDE TO CITY RECORDS: ITS ROLE AND REVISION

The City of Winnipeg and especially the staff of the City Archives should be very proud about, and indeed other Canadian cities are envious of, the *Access Guide to City Records.* The book represents a major effort in a short time-frame to produce a very useful instrument. Curiously, the book has come to serve a different purpose than that for which it was initially intended. As a guide to the existence and location of key City records so that citizens could exercise their *FIPPA* rights, The *Access Guide* serves its intended purpose well as *FIPPA* requests accelerate in the years ahead. But the *Access Guide* also pulls together in one place all known records disposition information, in more detail than the 1996 records bylaw.

Since the purpose has de facto changed, or at least expanded, there is a need now to refine the *Access Guide* in its next edition into a explicit, detailed, specific records retention guideline, and seek formal approval for these changes. In effect, such a revised *Access Guide* becomes the records retention and disposal instrument (or schedule) for the City at an operational level, enshrines the archival appraisal decisions, and allows citizens transparently to see these choices, as well as, of course, to have a better, detailed entry to knowing what records the City creates and retains, so that they may exercise their right under *FIPPA* for access to such records. As a de facto retention and disposal schedule, the revised version of the *Access Guide* should be given the legal force of a bylaw, and in effect, replace the records retention parts of Bylaw 6875/96 by incorporating but also extending its provisions. And the present rather uneven input should be replaced by more serious participation and analysis by departments, as recommended above.

Because the *Access Guide* is an essential tool to City public servants in managing records properly and to citizens, it is recommended that the next edition be put on city web site to facilitate access to it, as well as raise visibility for the records management and archival functions. Because the *Access Guide* has caught the imagination of many City public servants and is generally known, the City Archives should include in it two new sections: 1) one summarizing records management principles, including the life-cycle concept, the need to have carefully analyzed retention periods against all records, the role of the Archives in partnership with departments in safeguarding City records having long-term value, and the legal requirement that no record shall be destroyed without the authorization of the City Archivist; and 2) one outlining the procedures and actual forms departments are to use for preparing and listing records for transfer both to the Records Centre or directly to the Archives (see section 7.4 for more detail). The *Access Guide* promised a revision in 1999; that was too optimistic. A new guide that incorporates these suggestions is feasible for 2001, even though the appraisal and scheduling of all City records will take many more years to accomplish. The information in the Guide should thereafter be updated continually in its electronic web version, as new appraisal and disposition authorities are put in place, and issued in consolidated hard-copy book format every three years.

Recommendation 13: The *Access Guide to City Records* should be revised and issued in paper and electronic formats in 2001, and its retention and disposal information should be given the formal approval and status of a Bylaw, a process thereafter to be repeated at regular three-year intervals. The guide should also be a vehicle for conveying best practices and outlining procedures about records management and for specifying requirements concerning records destruction authority and transfer of records to the Records Centre or the Archives.

6.6 POLICIES AND PROCEDURES

This report does not deal formally with policies and procedures, but rather with strategy. Nevertheless, the absence of clear City-wide policies and procedures and bench-mark performance standards for all records management activities means that the spirit of the *City of Winnipeg Act* and the *FIPPA* legislation is poorly met, and the resultant state of records management practice in the City rather speaks for itself. Policies, procedures, and standards should cover the whole range of records management activities that, as noted before, include "the creation, evaluation, storage, access [indexing or cataloguing], retrieval, duplication, dissemination, use and disposition of recorded information." There is abundant expertise through the Provincial Archives of Manitoba that has implemented an admirable records management programme in provincial departments, through the web site and publications of ARMA (Association of Records Managers and Administrators), through the two detailed manuals already recommended (see section 6.3 above), or through City departments, such as Community Services, that have already pioneered in this manner, and the City Archives has also issued a limited number of bulletins in this regard

Recommendation 14: The Records Management Council should pool these various sources and other best practices, and produce a City-wide "records management manual" of policies, procedures, and standards to be used as the basis for training, programme improvement and thus cost reduction, and for developing criteria for improving practice and for compliance audits.

6.7 MANAGING ELECTRONIC RECORDS

All jurisdictions — federal, provincial, and municipal — are playing catch-up with office electronic records, both office automation systems (e-mail, word-processing, and related spreadsheets and graphics) and scanning projects to convert paper records into electronic text and images, for use on internal "intranets" or for posting to external web sites. The pace of change with information technology and its implementation has virtually everywhere outrun policy development regarding these new record-making media and certainly their day-to-day management as corporate records. In this, Winnipeg is not further behind, and in some ways is ahead of other non-national-level jurisdictions.

The CAO's decision for the City-wide adoption of a standard electronic office software (Microsoft Office Suite was chosen) makes much easier the implementation consistently and corporately, as is required, of records or document management automated software products. The organization of IT centrally in each department and the strongly supportive role of the IT area of Corporate Services are also strengths upon which to build. Some guidance has been issued by City Archives on handling imaging and e-mail, and this should be expanded, but also issued with such authority or partnerships that commands attention and assures implementation, through use of the expertise and status (as recommended in this report for all such endeavours) of the Records Management Council and the Records Committee. The City moreover recognizes the seriousness of this issue at a senior level; the City Clerk will be chairing a committee to investigate the issues involved with the coming adoption of document management software across City departments, and the City Archivist is involved in this project. Public Works is testing electronic document management software. Taken together, these factors and initiatives offer a significant opportunity to change direction, and for Archives to jump-start its own electronic records programme.

This is not the place to outline the possible solutions to electronic records in office systems; to do so convincingly would require several hundred pages and is well outside the scope of this study. However, the international records management and archival communities are addressing this issue as their top priority. This is not surprising, for the loss of control over office electronic records (despite orders to "print to paper" that have met demonstrable widespread non-compliance) is recognized universally to be a crisis of major proportions for the very stability of organizations, their operational integrity, legal and moral accountability, and the future of history and collective memory. The Y2K concern is but the tip of the electronic records iceberg in comparison.

Good progress is now evident nationally and internationally after some years of hard research and trial-and-error experimentation, with which research and experimentation the City Archives and the Records Management Council, on behalf of the City and in cooperation with Corporate Services, should become familiar and then, from these broader spheres, adapt solutions to fit Winnipeg's needs. For example, there have already been completed in the past two years and there now are under way additional major multi-year research projects (each funded by national research bodies for many hundreds of thousands of dollars) at universities in Canada, the United States, and Australia. Functional requirements for electronic record-keeping have been clearly specified. The International Council on Archives has issued guidelines and position papers. The United States Department of Defense (DOD), which has a reasonably high stake in having trustworthy electronic records (!) , has articulated and now promulgated for implementation the core requirements for electronic record-keeping metadata that allow for the creation and management of authentic and reliable records within electronic media, with full support from the U.S. National

Archives and Records Administration (NARA). The American DOD and NARA furthermore certify 10 specific software applications (two of which companies are Canadian, one Australian, the rest American) that fully comply with the DOD record-keeping functionality standard. The Australian National Archives and the New South Wales State Records Authority are doing similar analysis. The National Archives of Canada has developed, in cooperation with a software company, prototype software for such electronic office record-keeping, which is now being pilot-tested or implemented in over twenty federal departments. The National Archives has also articulated an "Electronic Work Environment" of short-, medium-, and long-term strategies for handling office records that are created in an electronic working environment, including what you can start doing next Monday morning to improve things. One does not immediately need to buy into the entire solution, but can approach the issue incrementally, although the further one casts one's vision at this start-up time, the less work down the road. An early product (for which there are many precedents could be an e-mail policy, for example, outlining corporate rights, ownership of information, worker privacy, restrictions on use and certain web site visitation, etc. The key point is to start to move. Virtually all of these projects have their research studies and reports available on web sites. Closer to home, the Provincial Archives of Manitoba is spear-heading, on behalf of the provincial government, a project to address the management of electronic records, not unlike its leadership role over recent years in building a provincial government records management system and coordinating the cross-province *FIPPA* implementation. And there are standard sources available that introduce the topic for beginners: William Saffady, *Managing Electronic Records* (Prairie Village, KS: ARMA Internal, 1992), as does the Julian Mims manual already cited. For more current material, in the archival professional literature alone, as an example, the bibliography on just electronic records for the Archival Studies programme at the University of Manitoba runs to 150 items.

There are some identified dangers with electronic records from a records management and archival perspective. One is to treat these as special media. While all recording media from paper files to photographs to video tape have different characteristics that require individual attention, they are **first** records created to carry on the business of the City and thus reflect the functions of municipal government, and only **secondarily** are they special or individual media. Electronic records should be managed, appraised, and disposed first as records, rather than as technology products or isolated media. A second danger is the attractiveness of information technological solutions advanced by eager vendors "to solve all your problems," whether these solutions are artificial intelligence search engines or automated indexing programmes or "scan everything and throw out the originals.". It bears repeating that "garbage in equals garbage out." Records in any medium must first be managed, in context, reflecting the work flows and business processes for which they were created and of which they serve as reliable and accountable evidence, before they or their indexes are automated. Automation and digitization can offer wonderful efficiencies, but only if they are implemented on sound conceptual principles.

It is important to underline that there is a tension in many jurisdictions, from other cities to the federal government, between IT specialists and system managers on the one hand, and records managers and other "paper records" people on the other. It does not help that the former are viewed as the "whiz kids" of administration, well paid and well titled, and respected for the major hard-dollar budget commitment most levels of government make to IT; and that the latter are seen -- incorrectly -- as peripheral, support, semi-clerical, and traditional. These two cultures need to be bridged in Winnipeg as elsewhere. IT specialists do an excellent job generally in managing systems and data within them; records managers should manage the records within such systems in terms of records management and archival requirements. IT solutions sometimes are advanced as record-keeping solutions, and that is not always true. Both are necessary, and this report at several spots seeks partnerships with the IT professionals and with Corporate Services, for just this reason, including in the central Records Management Council and here with electronic records management.

Recommendation 15: The Records Management Council and the City Archives should conduct research into the current national and international solutions for managing electronic records in office systems, as well as new efforts by the Provincial Archives of Manitoba and any such nascent projects in City departments, and utilize the IT expertise of Corporate Services. From the research results, a strategic plan should be developed to identify the mix of policy solutions and software appropriate for Winnipeg, obtain Records Committee and Senior Management Committee approval, and launch an implementation plan beginning with pilot projects and subsequent roll-out, with appropriate senior management support and resources, across all departments.

Databases contain records that are subject to the records management and archival legislation and to *FIPPA*. Unlike what has been described in professional literature as the chaos of the "wild frontier" for electronic office records, the systems world of databases is well organized and managed by highly competent IT and computer specialists. Unfortunately, neither the senior line managers for the City programmes that such systems support, nor the IT specialists themselves, tend to view such systems as containing records. Nor do they realize the requirement to schedule the data in datafiles, to preserve data that may have archival value, and not to delete or alter a record (or data element within record) without the authorization of the City Archivist (for such deletions or changes are de facto unauthorized destructions of City records). While the vast majority of databases in modern administrations typically do not have archival value, some mission-critical systems are extremely important historically, and increasingly do not have any (or any useful) paper equivalents. It is thus necessary to bring databases within the purview of this new records management and archival strategy.

Recommendation 16: The City Archives with the Records Management Council, in cooperation with the IT specialists of Corporate Services and select database managers, will develop for approval by the Records Committee and Senior Management Committee a short interim policy to bring City data systems within the purview of the records management and archival programmes being outlined in this report, rather than continue their present de facto exclusion. Thereafter, records in databases should be managed, scheduled, and either destroyed or preserved as archival in conjunction with all other records relating to the business function they support.

There is widespread scanning of paper records into imaging systems in City departments, as these latest trendy tools are pushed by vendors with the promise of instant desktop accessibility without the clutter of paper (and, implicitly, their management requirements) and of great administrative efficiencies and thus reduced costs. Yet horror stories abound in other jurisdictions of scanned images unreadable within five years of implementation because of software and hardware technological changes, or scanned data being relatively useless because of the weakness of their indexing metadata design or failure to link scanned records contextually to related paper records.

On scanning, there is an expressed wish in City departments for advice from the City Archives and Records Control Branch for help developing requests for proposals for systems, lists of good vendors and systems, and general IT issues regarding such records, such as their admissibility as evidence in court proceedings, and the appropriate disposition of the originals, as well as exploring some cross-departmental partnerships to pool software licences to reduce "per seat" costs. The Canadian General Standards Board (CGSB) has developed requirements that scanned or digitized records need to meet to be considered as reliable evidence for court or other legal proceedings. To these requirements, the National Archives of Canada (NAC) added two more, and issued a cross-government multi-institutional records disposition authority for the destruction of scanned hard-copy source documents **if** these CGSB and NAC requirements were met and certain exceptions were respected (maps, photographs, etc., where the paper record has certain characteristics worthy, in some cases, of archival preservation). There is a significant cost savings in this approach.

Recommendation 17: That the City Archives and Records Management Council develop for approval and distribution a policy and guidelines for scanning or digitalizing systems that will reflect records management and archival requirements, and that the City Archivist issue at the same time a generic cross-institutional records schedule or disposition authority authorizing the destruction of certain (but not all) types of hard-copy source documents. The approach developed by the National Archives of Canada should be investigated.

6.8 VITAL RECORDS, AND DISASTER PREPAREDNESS AND RECOVERY PLANS

The City has no corporate vital records plan — sometimes called an essential records plan — beyond microfilming certain records, based on local departmental perceptions, or storing multiple copies of some records in different locations. Nor does it have a related disaster or emergency measures preparedness and recovery plan specifically for records. Records can be threatened by cataclysmic flood and fire, by electronic interference, by hacker or employee sabotage, or by war. Vital records programmes identify and protect records critical to resuming City business the day after the disaster. Disaster preparedness and recovery plans evaluate threats to records to reduce these as well as outline recovery mechanisms and contacts in advance should the disaster occur. Where to get freezer trucks within an hour to fast-freeze-dry soaking wet documents so they will be able to survive? Where and how to store backup electronic data and documentation needed for system recovery? Which companies or other agencies can help on a moment's notice? Who is "on call" should a disaster occur so that the plan may be implemented? Past studies were done (by Richard Klapecki in the late 1980s) on what records would be part of a Winnipeg vital records programme, but there was no follow-up.

Both vital records programmes and disaster preparedness and recovery plans are considered essential components of any records management and also of course (see 7.11 below) of any archival programme. Both vital records and emergency preparedness receive extensive coverage in terms of their nature, policies and procedures in the two records management manuals by Julian Mims and Ira Penn, et al., previously cited. There are national companies, with Winnipeg branches, such as Cromwell Fire & Flood Restoration, that provide assistance for some of these emergency recovery requirements.

Recommendation 18: The City of Winnipeg as a whole and each of its departments should develop vital records programmes and disaster preparedness and recovery plans for records as part of the first phase of this strategic plan.

6.9 MICROFILMING CITY RECORDS

Microfilming records, sometimes being replaced by digitization or scanning, is used extensively by several City departments. Microfilming, as with off-site storage of backup data, can be part of a vital records programme, if vital records are being filmed. Some limited microfilming is carried out for other City departments by the City Archives; it is recommended below (see section 7.12) that the Archives' filming facility be used exclusively for filing fragile permanent archival records. Public Works carries on a much larger microfilming programme for its own records, and those of at least eight other departments, having now filmed some 8,000,000 documents. Whether all this filming is required, whether scanning should replace all or some filming, and whether it is more cost-effective to consolidate all necessary City filming with Public Works or to out-source it to private industry should be investigated. It should also be remembered that all microfilmed and digitized copies of records are themselves still records, and subject to the records management and archival requirements stated throughout this strategic plan. For some records, for reasons of space or fragility, the Archives may wish to acquire the filmed rather than original record. Since according to Bylaw 6875/96 (clause 5, "Records shall not be photographed unless the Records Committee so recommends.") all microfilming projects require the authorization of the Records Committee, the Archives could at that time indicate its own interest in either the filmed or original records. Judging from the minutes, no such microfilming proposals have been brought before the Committee, although filming continues. The wording would indicate that this clause could be interpreted to also include scanning or digitization projects.

Recommendation 19: The City should conduct a feasibility study of the most efficient manner and place to microfilm records, the requirements necessary to justify microfilming, and the advantages of microfilm (if any) over digitization for differing purposes (vital records copying, information diffusion, reference ease, etc.). Microfilmed records must themselves be scheduled and can only be destroyed with the City Archivist's authorization. All microfilm and record scanning proposals should come before the Records Committee for assessment and approval.

6.10 NEW RECORDS CENTRE ACCOMMODATION AND ITS SERVICES

Departments have complained that they are running out of space for storing records that otherwise could come to the records centre, if the records centre operations at 380 William were not full. They also state that there is little point of applying such records schedules as do exist, since the resulting archival records cannot be transferred to the Archives for lack of space there. Furthermore, some departments, like Police, are spending significant money, and introducing admitted operational inefficiencies, by storing dormant records in multiple sites, including using a full mezzanine of prime archival storage space at 380 William for dormant Police records. Some departments are paying for more expensive commercial storage space, because the records centre is full.

The City has responded well to this problem and is now in the process in this and the next fiscal year of allocating funds to establish the 311 Ross Street building as a records centre, with appropriate security and shelving. This is commendable. This affords departments a chance to save expensive office building storage space, reduces costs, and allows the Archives to rationalize its own collections. Other floors of 311 Ross should in time be converted to records centre usage as the need arises. In terms of other options of paying for space from commercial centres or in partnership with the federal records centre located in Winnipeg, a very thorough federal study in the mid-1990s for the cross-Canada federal records centre system demonstrated that it is cheaper and more efficient to run such centres directly, as Winnipeg is now doing. There are additional benefits, such as keeping sensitive personal information under City control and the linkage between the records centre and archival acquisition programmes.

Recommendation 20: The 311 Ross building should continue to be outfitted and expanded as necessary as a Records Centre, managed by the City Archives and Records Control Branch, and that all dormant city records scheduled for eventual destruction be amalgamated and moved there; and that the 380 William City Archives building be used exclusively for storing records appraised as having permanent archival value.

The Archives should move to operating a full service records centre. This will further encourage departments to lower their "active" retention periods for records and thus move them out of expensive office space into cheaper records centre warehouse space for a further "dormant" retention period. It will encourage them, more basically, to send records to the centre at all, thus saving more costs. Archives staff should retrieve, charge out, and deliver/send and re-file records, rather than departmental officials having to come to the centre to do these tasks (about which some have complained), which discourages Record Centre use for any records having any perceived (no matter how infrequent) reference use for the departments. Depending on the economic model adopted for the City by the CAO's Office in terms of real-cost accounting for storage and office space, the archives could later explore charge-backs for both storage and retrievals services beyond a "free" minimum per department per year.

Recommendation 21: The City Archives and Records Control Branch should run a full-service Records Centre, and be granted one more clerical position for this new work (this resource is rolled up as part of Recommendation 23 below).

6.11 TRAINING AND PUBLICITY

A good records management programme depends not just of having a cadre of records professionals doing their jobs well, with clear policies, procedures, and accountability. Every public servant working for the City of Winnipeg must do her and his part in creating, maintaining, using, storing, and disposing of public records, within the life-cycle model, according to these policies and procedures. One can never tell public servants this message too often. There is convincing evidence that many City workers simply do not know or understand their role in managing records and in preserving the City's heritage. Education campaigns and on-going training should be undertaken. The excellent initiatives of the Community Services Department in preparing a short, snappy brochure and a more intensive training manual for all staff are "best practices" very worthy of imitation. Posters could be produced to go in every City coffee room, cafeteria, even washroom.. Reminder messages — short but snappy — on various records management issues and responsibilities could be sent out on the City-wide e-mail system several times a year. City middle managers could be encouraged to attend ARMA training sessions and regular lectures, so that their records awareness is increased and they could set a better example for their staff. The resources of the ARMA International Educational Foundation could be tapped and disseminated.

Recommendation 22: The City Archives and Records Control Branch, with the Records Management Council, should develop and implement a City-wide general "awareness" programme for all public servants concerning their roles and daily obligations in managing the City's records, as well as a more extensive training programme for those directly involved in records management units.

6.12 STAFFING INCREASES AND HUMAN RESOURCE ISSUES

There is an enormous amount of new research and work involved in the above discussion and recommendations. The reader needs at this stage to recall that this is not just about building a good records management system for better government, reduced costs, and improved archives. It is about rescuing a neglected system that has fallen into crisis **and** then building a good system **and** then expanding it into new areas such as electronic records management.

There is no point of throwing limited money across the system and hoping it will help. It will not. Every indication is that records management, despite past warnings, is not yet taken seriously by City senior managers. A few hundred thousand dollars and a trickle of new person years scattered across twelve departments would disappear into no doubt other pressing priorities. It would be the proverbial pebble cast in the pond -- a few ripples before the calm returns of a placid status quo.

The possibility raised in discussions with the Records Committee of hiring ten senior or upper middle-level managers to be the accountable senior records official, while generous, is unrealistic. Discussions in the Winnipeg records and archival community indicate that finding ten senior, trained, experienced records professionals in the provincial government, Manitoba private corporations, or the universities, and convincing them to jump to these new positions, is extremely unlikely in more than a couple of cases. Moreover, it lies with departments' present powers, if they have the will or are forced to by the Senior Management Committee, to elevate the official now charged with records management and /or *FIPPA* administration to a more senior level, as indeed some departments have done, and equip that person with the training, status, and authority to act as the senior official envisioned in this report.

If departments decline to do so, then clearly they do not accept the arguments of this report, of H.G. Jones that records are a public trust to be managed as least as intensively and carefully as financial and human resources, or of many writers that sound records management is the key to cost savings, increased productivity, improved morale, and legal protection for their own departments. If they do not accept this, then the problem is attitudinal, not resource-based, in the first instance. Senior Management of the City has the responsibility to change these attitudes or remove the people who persist in holding them.

In return for appointing internally an active, committed senior official for records management and for the time that official spends with the Records Management Council, the departments in return receive "for free" many models, best practices, cost reductions in shared systems and software licences, and the strength in numbers and research expertise beyond which any one of them alone could achieve. Once these are implemented and good records management systems are in place and fully operational, the departments also will gain, of course, the much greater benefits mentioned throughout this report of reductions in hard and soft costs, of increased productivity and reduced inefficiency, of legal protection and legislative compliance, and of sharing in preserving the City's documentary heritage.

The overall recommended strategy in this report is to locate the research and analysis and subsequent expertise so generated in the City Archives and Records Control Branch and in the new Records Management Council, supported by the Records Committee, the City Clerk, and the Chief Administrative Officer and her Senior Management Committee. The City Archives is transformed, in effect, into the pool of expertise and research necessary to drive this entire strategy. It is the arm that not only supports and participates in, but especially implements the wishes of the Records Management Council and the Records Committee. It does the critical and on-going research, writes the reports, crafts the policies and procedures, trains the trainers, works with auditors, develops work plans and infrastructure, and much else.

Following a modified version of the new City of Toronto model, which is clearly the best archives and records service of the other cities the author investigated, it is recommended that staff increases be focused and centralized in the City Archives and Records Control Branch. Leaving aside increases for the archival functions per se (see section 7.14 below), it is recommended that one experienced senior records manager be hired and three new records analysts, in addition to the one additional clerical position mentioned above to staff the expanded and full-service Records Centre. To spread costs, this hiring should be spread over the first two phases of this strategic plan's implementation, although the experienced senior records manager and one assisting records analyst should be recruited and on stream as quickly as possible.

The advice widely received is that unless a senior records management professional is in this critical position, the proposed strategic programme will fail. The hiring of such a person should be carefully done; the Provincial Archivist has signalled his willingness to help by sitting on such a hiring committee. Two additional staffing points. First, it is clear that no such senior professional would be enticed to leave the Provincial Archives, a provincial government department, or private-sector corporations for a temporary position such as the City has been utilizing for new hires in order to maintain its flexibility in downsizing times; the position for the senior records manager in the City Archives would certainly have to be an indeterminate permanent one. Secondly, these positions at the City Archives are **professional** positions. They should never be used as "dumping grounds" for staff in other departments, including City Clerk's, who may have the same classification or salary level, any more than positions of structural engineers or medical doctors working for the City would be so filled. The senior records manager should be an experienced professional in the field; the three new records analysts should be graduates (or perhaps near-graduates) of one of the graduate-level archival or information studies programmes of Canadian universities.

It is recommended that the City Archives' operational budget also be increased by $15,000 annually to provide operational support (computers, training, travel, etc.) for these five new employees and to cover the increased costs of servicing the Records Centre (deliveries, couriers, etc,) and of developing and issuing products for the Records Management Council (policies, manuals, brochures, posters, web site design and maintenance, etc.).

Recommendation 23: In order to resource the records management half of this strategy, the City Archives and Records Control Branch should have an increased staff complement of five (one senior and experienced records manager, three new records analysts, plus the one Record Centre clerk already mentioned in Recommendation 21 above), to be phased in with the senior records manager, one records analyst, and the clerk in the first phase of this plan, adding two more analysts in the second, with appropriate salaries and benefits provided, and an operational budget increase immediately of $15,000.

7. The Archival Programme and the City Archives

Observations

The first general observation about the City Archives is that its holdings are very strong for the "official" central records of municipal administration: those of the City Clerk's Department. This also includes almost all city clerk records from the former twelve municipalities that joined with Winnipeg to form the unicity in 1972. These records are the heart and core of any municipal archives collection in the English-speaking world. In that these records date back to 1874 and there was no municipal archives until more than a century later, Winnipeg has been both extraordinarily lucky, and very well served by some unsung archival heroes, to have this collection survive almost intact through years of neglect.

The archival holdings are considerably weaker for records of the "line" or operational departments (although there are record centre holdings from some of these departments). Such "on the street" municipal records from daily operations of departments in neighbourhoods and with parks and sewers and policing -- as opposed to the official "Council chamber" records -- are often of more use to historians, urban geographers, architects, planners, and other researchers, including neighbourhood and community groups and genealogists. No planned records disposition system and archival appraisal methodology is now in place at City Archives to handle the potential paper avalanche should all such departments decide to transfer their records as archives.

Unfortunately, unlike the good fortune of the survival of the City Clerk's records from 1874, that is not the case with departmental records, both in Winnipeg and especially in the twelve other predecessor municipalities. Many records were destroyed or just disappeared. Some occasionally pop up in warehouses. Winnipeg has lost a significant part of its real history; it is time to staunch the bleeding and bring such records firmly under control and within the purview of the City's archival programme. If sad, the weakness of the holdings in this regard is not surprising, given the weakness of the City's records management system just described in section 6 of this report. As therein noted, an archival collection is heavily dependent on archival appraisal decisions being incorporated as part of life-cycle management of records and reflected in records retention and disposal schedules.

The archival holdings of non-government records are virtually non-existent, despite a formal mandate requiring the Archives to be a "total archives" in the Canadian tradition of collecting both public- and private-sector records for its jurisdiction. Such "private" records would include those of prominent or typical Winnipeggers, of community and lobbying groups in the city, of its businesses and sports clubs, and of its many associations in every walk of life. A partial — and laudable — exception has been the acquisition of records from the office of recent mayors (Juba, Norrie, and Thompson), but, valuable as these are, they are also quasi-governmental in nature.

There is a blurring of the contents of the present 380 William Archives building, as noted above in section 6.10, which now serves as both records centre and archives. It is bursting at the seams. Planned additional nearby space at 311 Ross for the Records Centre part of the holdings will be critically important not only in addressing the space crisis of the Archives and giving hard-pressed departments some relief to store dormant records more economically, but also in allowing the Archives to focus better its resources and house better its own crowded collections.

The status of the "ownership" of the permanent archival records (as opposed to Records Centre holdings) by the City Archives is unclear, and thus the ability of its staff to take independent action, and to be responsible and held accountable for their decisions. The Archives' "holdings" may not be "its" holdings at all. This requires clarification. The retention by departments of very old records, having no administrative use, is widespread in the City, to the point of becoming part in some cases of departmental museum collections. Either other departments do not know the role or perhaps even existence of the City Archives, or have deliberately chosen to ignore it. The issue of the status of the archival records and the advantages of one centralized City Archives require clarification, and reinforcement within the City.

The City's rich archival heritage is underused, and not well known by academics. University students rarely come. Research numbers are relatively low, even recognizing that quality counts more than quantity in this regard. Increased publicity and higher visibility are required. To some researchers, the Archives is remote and uninviting, its finding aids hard to use, and the inability to work independently without steady staff intervention (no matter how kindly intended) found frustrating. The recent exhibition of photographs in the City Hall main staircase is a welcome start of an increased visibility for the holdings, as is the major effort to prepare the *Access Guide*, staff members' publications, participation in Winnipeg 125 efforts, or a recent initiative with the school children concerning civic responsibilities. Still, a dilemma exists. Until the Archives' own house is in better order, and essential records management infrastructure is in place, a large increase in publicity or in numbers of users will divert Archives staff (unless staff numbers increase more than is herein recommended) from these two pressing tasks in order to serve instead an expanding clientele, which new clientele the Archives' staff will only be able to satisfy (if at all) by intensive work because the "in-house" archival and broader records management operations are not in order. Yet an unused and unknown archives, relatively speaking, is harder to justify in tough economical circumstances such as the City faces. This is a vicious circle. A strategy is needed to break this circle that still respects the need to move forward strategically with an archival agenda as well as a records management one.

Some efforts undertaken in recent years, with the best intentions, have produced indifferent results because of a lack of knowledge of certain archival concepts. Some of these will be detailed below and corrective approaches suggested. On a general basis, it might be useful to suggest here (rather than state repeatedly below under several headings) some good"self-help" sources that the Archives' staff may wish to consult for improving their practice. In addition to the Mims and Penn et al. manuals cited earlier, which although about records management do have sections on archives, albeit from a rather traditional perspective, the following are recommended, especially the first two:

Elizabeth Yakel, *Starting an Archives* (Society of American Archivists, 1994).

The Staff of the Pennsylvania State University Archives, *A Procedure Manual: A Guide to Managing an Institutional Archive Utilizing Process Flow Charts* (Society of American Archivists, revised edition February 1996).

Paul H. McCarthy, ed., *Archives Assessment and Planning Workbook* (Society of American Archivists, 1989).

and more academically:

Richard J. Cox, *Documenting Localities: A Practical Model for American Archivists and Manuscript Curators* (Society of American Archivists, 1996).

Jane Turner, "Working Cooperatively for a Sustainable Future: Total Archives in Nanaimo," *Archivaria* 39 (Spring 1995).

M.V. Roberts, ed., *Archives and the Metropolis: Papers Delivered at the 'Archives and the Metropolis' Conference, 11-13 July 1996, Organised by the London Metropolitan Archives, the Corporation of London Records Office, Guidhall Library and the Centre for Metropolitan History* (London, 1998).

All these sources, save the *Archivaria* article, are available for purchase via the Society of American Archivists' web site mentioned earlier. The City Archives may also wish from time to time to accept the author's offer (without additional compensation, beyond travel costs if not already in Winnipeg) to be available to Archives staff, in person or by e-mail or telephone, to suggest contacts or sources of procedures that may assist in implementing various aspects of this report, but which are too detailed, or sometimes too subject to rapid change, for inclusion in a strategic report of this nature.

A final general observation is that among the regular members of the Archives' staff -- not counting the City Clerk's Department employees assigned there temporarily -- there is plenty of commitment and energy, a very real eagerness to try new approaches and take up new challenges, and at the same time a sense of frustration and drift. They feel many pressing and conflicting demands, are aware of the shortcomings of some of their own operations, and acknowledge the need for more archival training and leadership. For these reasons, they state that they very much welcome this strategic review and are hopeful that it will give a sense of direction, greater visibility and status for the Archives, and an opportunity for them to make a stronger contribution to the City and to its history and heritage. This is a welcome strength that should not be overlooked with an undue emphasis (despite short-term needs in this regard) on the proposed records management strategy at the expense of the proposed archival one.

Discussion and Recommendations

7.1 ROLE AND INDEPENDENCE OF THE CITY ARCHIVES AND CITY ARCHIVIST

A principal concern in developing this new strategy for the City is to give the key players the role and status, with the responsibility and accountability, necessary to effect change, in both records management and archives. That tone was, it is hoped, set in the last section for the records management function; it is repeated here for the archival one.

The City Archives and the City Archivist (the position, not the incumbent) do not have this status or role well defined at present, and certainly not for the increased responsibilities envisioned for them under this strategy. They are seen as a branch of City Clerk's by other departments, some expressing a reluctance to send "their" records to City Clerk's. This attitude operates in reverse with City Clerk's own staff, some of whom feel that the permanent City Clerk's records housed in the Archives still belong to them and may be recalled at will. The Archives, in short, lacks the autonomy and independence to play the corporate role mandated and expected of it, let alone the expanded one in this strategy. With that lack, it is hard to exert leadership or command attention. While many departments do cooperate with the City Archives, above all City Clerk's, there is a sense that the Archives interacts with City departments almost on sufferance, cap in hand, hoping for cooperation. This situation inevitably leads to reactive and ad hoc behaviour by the Archives, rather than active, aggressive forming of initiatives and action plans, and carrying them out. For the most part, Archives' staff want to be empowered to do the job well, but feel that they are not.

Virtually all public-sector archives operate independently within their sphere of professional competence. Of course they must report to, cooperate with, and receive support from some senior agency. The National Archives of Canada, for example, the biggest and best funded of them all in this country, reports through the Department of Canadian Heritage, and receives an annual budget allocation through the heritage functional umbrella of cabinet, but the NAC is otherwise considered an independent entity. It "owns" its records (on behalf of the Crown, technically, but the point is that the National Archives owns them, not Canadian Heritage or any of the creating departments). It treats the records as it thinks best in terms of the latest professional research and knowledge, and preservation standards. It administers all relevant legislation for the records (such as the federal equivalent of *FIPPA*). It responds to court subpoenas for the records and prepares certified true copies of records required as evidence in other legal proceedings. It requires users (including other government officials) to consult the records at the Archives, rather than allowing them to be sent all over town or the country. It develops strategies and priorities for its programmes, although naturally respecting larger government-wide initiatives. Except for the appointment of the National Archivist himself, it handles all staffing of its positions independently. With such responsibility comes pride and empowerment, a motivation to rise to the occasion rather than expect someone else to bail out the boat.

Concerning the legal status of records especially, this level of autonomy means that the permanently valuable archival records are not just under the "custody" of the Archives as now in Winnipeg, but also should be under its "control." That is the situation that pertains in virtually all other municipal archives. To make the distinction clear, departmental records in their dormant or in-active phase are placed in the City Records Centre, which the City

Archives operates on behalf of the City as a corporate-wide service; the records there are under the "custody" of the City Archives, but not under its legal "control." The records remain under the control of the creating or transferring department, and that department is responsible for all actions relating to the records. But once the retention periods have expired, the permanently valuable records are then transferred to the full "custody" **and** "control" of the City Archives as an archives, and it alone thereafter is responsible for all actions relating to the records (with the recommended exception of administering *FIPPA* requests for the records).

Symbolic of this recommended new status and of the new era represented by the implementation of this strategy, once approved, a name change is also suggested for the City Archives and Records Control Branch, which will be hereafter used in this report.

Recommendation 24: The City Archives and Records Control Branch, while reporting to and cooperating with the City Clerk, should be mandated as an autonomous or arm's-length City-wide corporate service, rather than as a operational branch of the City Clerk's Department, in all matters relating to professional archival and records management standards and activities. In staffing, while naturally respecting City regulations that affect all departments, the City Archives should be responsible for hiring professionally trained and/or experienced archivists and records managers for its positions. The City Clerk, with the advice of the Records Committee and (as required by Bylaw 6875/96) the Chief Administrative Officer, will continue to appoint the City Archivist, but that person (once the position is next vacant) should be a senior experienced professional archivist.

Recommendation 25: Permanent archival records, once their scheduled active and dormant retention periods have expired, are transferred to the custody and control of the City Archives, which thereafter administers them on behalf of the City according to professional and legal requirements (with the exception of *FIPPA* requests).

Recommendation 26: The City Archives and Records Control Branch should be renamed The Winnipeg City Archives and Records Centre.

7.2 MANDATE ISSUES AND COLLECTING POLICIES

The legislative framework and collecting mandate of the City Archives, as noted above in section 5, are clear. They have not yet been fully implemented, however, and this strategy suggests how such implementation should be phased-in over several years. One observer mentioned to the author that we must "walk before we run," and there is wisdom in that. Despite the enthusiasm and desire to move forward dynamically on all fronts, and some external expectations that the Archives should do so, that is a prescription for doing the work superficially and for staff burn-out, at least until more staff are in place and trained. Nevertheless, the mandate needs to be affirmed and some (if not equal) progress should be, and should be seen to be, made on all fronts.

An internal (undated) report within the past two years, *Renovating the Past: A Business Plan to Revitalize the City of Winnipeg Archives and Records Centre*, outlined a "vision" and "mission" statement for the Archives. Similar statements appear in sections of the new Business Plan input for the City Clerk's Department. It is important for government institutions in an age of accountability to state clearly for themselves and for their internal government and external citizen clients both their mission and their mandate. These must reflect legislation, of course, but also strategic direction and service values, and be inspirational internally and informative externally. Such statements are also a touchstone against which work goals and performance should continually be measured.

Recommendation 27: The City Archives should develop for approval by the Records Committee formal mission and mandate statements, and promulgate these widely in all dimensions of the new strategic initiative and in all products produced.

While this entire strategic report is aimed at analyzing many aspects of the legislative mandate of the City Archives and fleshing these out into new goals and directions, this section on mandate is interpreted more narrowly. The first mandate for any archives is what records it should or must collect. From that, all other archival functions and activities are determined and dependent. This "collecting mandate" or "collection policy" (as it is termed in archival literature) has two dimensions. The first dimension is a broad, sectorial one of jurisdiction: the City Archives should not collect the records of Brandon or Halifax or of British Columbia Forest Products Company or the Toronto Maple Leafs Hockey Club. The jurisdictional mandate of what the City Archives **should** collect is dealt with in this section. The second dimension concerns what records in what media **within** that defined collecting mandate the Archives should actually acquire; this second dimension is termed archival appraisal and is dealt with in the next sub-section (7.3).

Over the course of this strategic plan's three implementation phases, the City Archives should develop its private-sector acquisition programme. Beyond recent mayoralty records, and the quasi-governmental 1999 Pan-Am Games Records, such a private acquisitions focus does not exist, despite the Archives' clear legislative mandate to have a "total archives" documenting the history of all Winnipeg, not just its City government. Other city archives such as Ottawa and Vancouver have more private-sector holdings than they do City records. The newly merged City of Toronto Archives has just this fall received City Council approval to support extensive private-sector acquisition activity. Winnipeg should do the same, and indeed prominent historians of Manitoba have said that this would very much add to the appeal of sending students to the Archives and revitalize research into Winnipeg's history.

Building a private-sector acquisition strategy is one of the most difficult of archival tasks, and there is abundant professional literature on the subject. Every citizen and group and company is a potential donor, for archives long ago stopped collecting only the records of the rich and famous. Yet many prominent Winnipeggers are almost by definition also prominent Manitobans or prominent in the university research community. Which of such records, therefore, belong best in the Provincial Archives, the University Archives, or the City Archives? What about major entities within Winnipeg that have their own archives (from many church denominations to major corporations like Great-West Life and the Hudson's Bay Company) or others that do not but should (the school boards, major sports teams)? Private-sector collection will evidently require liaison with the programmes at the Provincial Archives and University of Manitoba Archives, especially, as well as others.

The archival community can never afford competition for records; cooperation, networks, and partnerships must be the order of the day. The Association of Manitoba Archivists is now developing an acquisition strategy for private-sector records across the province; the City Archives should take part directly in these discussions, even if active acquisition of private records is deferred for some years under this strategy. The University of Manitoba Archives (Mike Moosberger is the contact) is a member of a new Canadian-American team to document the History of the Red River Valley as a multi-institutional international archival endeavour to determine which records creators should be documented and which archives are best positioned to do so; the City Archives again should take part in this project, perhaps indirectly through contacts with Mr. Moosberger.

A private-sector acquisition strategy and active collecting should have three phases throughout the course of the implementation of this strategic plan. Because of the heavy emphasis on City records and records management in the first years, actual private-sector acquisition should be primarily focused in the second half of the plan, although there are strategic negotiations and partnerships that should occur early on, such as noted in the last paragraph. This also shows good faith in beginning to address this part of the mandate. Activity is suggested as follow:

- Phase one should include developing the broad outlines of the Winnipeg City Archives' role in private-sector archival acquisition: liaising with partner archival institutions within the City and with the AMA and the Red River Valley project, and focusing actual acquisitions only on the office of the mayor, councillors prominent in Winnipeg life or chairs of Council Committees, or former Commissioners.

- Phase two should articulate a formal private-sector acquisition strategy, after negotiations with partner archives, to be approved by the Records Committee, and the focus of actual acquisition of records should be extended to include the private records of other leading politicians and civil servants; and especially lobbying, citizen, and neighbourhood groups that interact with the City, and that form the other half of the citizen-state interaction that archivists should be documenting in their holdings. In phase two as well, negotiations should be undertaken with the various school boards; it is recommended that the City Archives become the archival partner repository for school board and individual school's records, in exchange for the school boards pooling funding for one new full-time archivist position.

- Phase three should extend private-sector acquisitions to the records of other Winnipeggers prominent or representative of life in the city: culture and the arts, sports and recreation, women and ethnic groups, business and the economy, education, labour, the environment, etc. Organizations of any significant size should be encouraged to establish their own archives, but sometimes this is not possible, and again partnerships are encouraged in such cases, where in return for having their records cared for by, and deposited in, the City Archives, these organizations transfer funds to hire summer students to organize the records and so on.

All private-sector acquisitions must be covered by signed donor agreements that transfer full control of the records to the City Archives, although issues like copyright and access may be negotiated. Examples should be sought from archives which for decades have used such agreements, and the general format and text used by the City Archives should be verified by the City's legal department. Private-sector transfers of records to an institution like the City Archives, in almost all cases, qualify as gifts-in-kind to the state, and the donors are eligible for income tax credits. The formal Canadian structure, with provincial committees, responsible for appraising collections (based on archivists' reports) for their monetary value for tax purposes, is called the National Archives Appraisal Board (known better as NAAB), which incidentally, despite the name, has no connection with the National Archives of Canada. City Archives staff would want to contact NAAB and Revenue Canada officials in Manitoba early on to learn of their responsibilities within the NAAB system.

Recommendation 28: The City Archives should develop, for approval by the Records Committee, an acquisition strategy for private-sector archival records, in partnership with other archival institutions and associations, other planned regional documentation strategies, and the advice of the National Archives Appraisal Board.

Recommendation 29: The actual acquisition of private-sector records should to be expanded gradually in three accelerating phases, as detailed in this report. Records of the various Winnipeg various school boards should be part of this initiative, subject to resource transfers to the City. The strategy and general acquisition plans and sectorial targets, but not each acquisition therein, must be approved by the Records Committee.

The City Archives is the designated repository for City government records of permanent or continuing value. Departmental records appraised as having permanent archival value should be transferred to the Archives at the earliest possible date when their active operational use ends. Hanging onto very old records occurs for the usual reasons: "because you never know, we may need to refer to them someday," or "occasionally, you know, we have to look something up," or "it's inconvenient to have to go and read files at the archives," or just because of plain old inertia.

These attitudes de facto thwart the legislated intention of the people to have an archives in the first place. It puts the rare inconvenience of public servants before the rights of citizens to explore and understand their past. It also puts the records at risk; modern chemical-based papers will not long survive, without becoming faded and brittle, in storage conditions without proper temperature and humidity controls, such as the City Archives enjoys and most departmental records storage areas do not. Twenty-five years seem a reasonable maximum cut-off date after which the records of permanent or continuing value must be transferred to the custody and control of the City Archives. If a very rare record is needed actively beyond that time, it should be copied, as its existence is threatened anyway with active regular handling for more than 25 years, and the original then transferred to the Archives. ***It should be stressed that 25 years is an absolute maximum; most retention periods in reality would be very much less, as is already the practice in Winnipeg and elsewhere.*** An exception is for certain electronic records, which will be explained below (section 7.10). For required rare consultations in older archival records, departmental staff should do that at the Archives, or depending on the request have the Archives' staff do that for them and provide copies. An archives exists to serve the staff of its creating jurisdiction as well as the general public; records sent to an archives are not "lost" but rather safeguarded and professionally preserved.

Recommendation 30: That departmental records shall be transferred to the custody and control (save certain categories of electronic records) at the end of their active and dormant retention periods, or after 25 years, whichever is less.

In addition to regular series of records kept too long in creating departments, there are small pockets of older prestigious records maintained as showpiece items in some departments. Examples are nineteenth-century bound ledgers of arrest records and of police officer personnel registers maintained by the Police Museum. The benefit of having one archives for each jurisdiction is recognized in all countries as cost-effective in terms of larger scale of operations, better for the records in terms of storage conditions and preservation treatment, and beneficial to researchers of having records in one accessible place, consistently and professionally described in archival finding aids, and cross-referenced to complementary collections of records. When such older prestigious records are needed for display in the different departments or elsewhere, again as done imaginatively and with great appeal at the Police Museum, suitable copies or colour facsimiles from the Archives' holdings should be used, rather than the originals.

Recommendation 31: The City Archives shall be the only repository for archival records created by any City department or agency, or their predecessors, and any "pockets" of such records shall be systematically identified and transferred to the Archives physical custody and control within two years of this report's acceptance.

The Archives should be a very important heritage and history resource centre for Winnipeg and its citizens, and indeed for all Canadians. But it is not **the** only such resource centre in the city and should not compete with the city or university libraries or with what is available elsewhere at the provincial or university archives, but rather focus every possible energy on the large archival (and records management) task to be done for which it alone is legislatively responsible. Thus, while a small reference library should be created, or continued, of books and journals particularly on Winnipeg's history and containing copies of bylaws and similar material to help researchers use the archival collections, the Archives should not aspire to having a general reference library of Canadian history; should stop collecting duplicates of city street directories (as the city library has a full set); should stop its vertical subject files of newspaper clippings (which are incomplete and very time-consuming to maintain properly — and while very valuable for some researchers are not archival documents); and should stop acquiring printed or published materials, whether magazines, newspapers, or departmental publications (beyond a reference series of annual reports or special studies). The Archives should negotiate a partnership agreement with the Winnipeg City Library that ensures that such published materials are safeguarded in the library system, and that the libraries and archives facilitate each other's mutual use by their patrons.

Recommendation 32: The City Archives should stop collecting published materials and enter into a partnership agreement with the City Libraries for the transfer of such materials already in its holdings, their future collection by the libraries, and supportive cross-references at each institution to the other's related holdings and finding aids to benefit researchers. It should maintain a small body of reference materials for use by staff and researchers needed to interpret the collections.

7.3 ARCHIVAL APPRAISAL

The City Archives does not have a modernized approach to appraisal, where some of the clearest thinking about archives has occurred over the past decade, and which goes considerably beyond weeding out duplicates and ephemera. This gap means that too many records are now kept by the Archives and, much more seriously, the Archives is not ready to deal realistically with the mountain of departmental paper records "out there" and it cannot extract in a logical (or defendable) way the material of long-term value from automated office systems and database systems. Being able to appraise departmental records effectively is also critical, of course, to providing the central "keep-destroy" substance for the record schedules that are the backbone of the improved and more cost-efficient records management system described above in section 6 of this report.

Appraisal is the most difficult archival activity, and is universally so acknowledged in professional literature. Appraisal has been called the archivist's "first responsibility," for it determines what becomes the archives, and what does not. Appraisal, while it certainly has its methods and procedures, is first and foremost theoretical, conceptual, and value-laden -- and very controversial, for the archivist is literally constructing the shape of the future's memory of past society by her or his appraisal decisions. In postmodern discourse, archives are very much "contested sites of meaning" — where society chooses through its professional archivists what and who are to be remembered and what and who forgotten. Appraisal is a work of careful research and scholarship, when done correctly, and of well-honed judgement.

New conceptual and strategic approaches to archival appraisal are essential to cope with the challenge of the backlog of records facing the City. For modern appraisal, the goal is to keep fewer records that are a richer resource for researchers, chosen in a more transparent, well-researched, and defendable manner. The aim is shift appraisal from a traditional focus on "subjects" in records that might be useful for tomorrow's researchers, for that is a crystal-ball game of predicting the future and has an almost infinite (and therefore non-defendable) number of answers, and rather shift appraisal to documenting the most salient aspects of the context of the records' functional creation. The aim is also to focus less on individual documents and more on the functions and processes that generate the documents.

The problem of focusing appraisal decision-making and thus records disposal schedules on record type is apparent, even though it was the primary approach to appraisal in the world until this decade. For example, the authorized schedules, which are all record based, that are attached to Bylaw 6875/96 dictate that "Committee Reports" are a permanent record. Committee reports of what? A committee engaged in deciding where to build and how to maintain city parks would generate records reflecting evidence of a significant City function or activity, and its records should be kept. Committee reports for groups involved in ordering supplies or maintaining vehicles or planning Christmas parties would not. Yet all are declared to be archival. Again, "media (artifacts, photographs, slides, video/audio tapes)" are declared permanent; the federal experience is that the vast majority of videos have no archival value -- many, for example, are purchased commercially for training purposes, and exist in scores, even hundreds, of copies. Again, classified correspondence is declared to be permanent and routine (which is undefined) correspondence is declared temporary, but what of the majority of correspondence that is neither, and the fact that most files would contain all three types. And determining which files have value and which do not is similar to example of the Committee Reports: it all depends on the functions and work processes in which the file is engaged, and whether these functions are central and have a large impact on the City and its citizens, or are peripheral and do not.

The new appraisal approach, termed "macroappraisal," focuses first on appraising the importance of the functions, programmes (on-going and one-shot), and activities of the corporate records creators and the interaction of citizens with such programmes, rather than the appraisal of records per se. With too many records, transient and unstable electronic records, an infinite number of possible research uses, and especially no luxury of a long passage of time to develop an historical perspective on what might be important or of value, the pioneering response in Canada of macroappraisal (now being imitated in several other countries) has been to adopt a top-down rather than a bottom-up strategy for appraisal: one that gives strategic priority to functions and work processes at the top, and not to recorded products or records emerging at the bottom from those functions and processes. This "top-down" approach relates to a functional decomposition methodology, **not** to administrative hierarchy or to an assumption that records at the top of the elite carry more "value." Such functional strategic thinking has long been used in corporate and governmental practices, and is evident today in business system analysis and system design in the world of computers to current interest in business process re-engineering and government restructuring, as well as increasingly in records management file classification and indexing, and financial and human resource planning and measurement systems. Archival research expertise so developed to conduct macroappraisal is mutually supportive, therefore, of the Chief Administrative Officer's approach to re-engineering City services along functional lines rather than having them remain locked in structural stove pipes.

While the professional literature on appraisal theory and strategy is immense, a summary is presented here. The reasoning behind the macroappraisal approach is simple enough to state. Institutions have certain formal or internally developed functions assigned to them or sanctioned by democratic societies; in this way they are a filter of societal trends, activities, needs, and wishes, of the things and concepts that society "values." For these assigned functions, the institutions articulate various sub-functions, which are allocated to different administrative structures or offices, each with a mandate to perform or implement such a function, or part of a function, or perhaps parts of several functions. These offices in turn create various programmes and activities to meet their functional mandates, which in turn lead to specific actions and individual transactions, for the efficient operation or delivery of which information systems are built. Citizens, clients, groups, companies, and associations interact with these functions and structures, programmes and activities, and, depending on the latitude and flexibility allowed for this interaction, they shape, challenge, and modify these programmes in varying degrees. Of all these steps and processes, the record itself is the final evidence within those information systems of all these acts and transactions, **and** of citizen/societal interactions. This means that the contextual milieu in which records are created is determined by all these factors: functions, sub-functions, structures, programmes, activities, actions, and transactions, and client interactions, as well as records-creating processes, systems, and technologies. By focusing archival research on analysing -- that is, "appraising" – the importance of manageable numbers of these functions, programmes, and activities in the first instance, rather than on appraising billions of records, or thousands of systems, series, and collections, the archivist is able to see the whole forest, rather than just a few trees. Seeing the whole context ultimately means that poorer and duplicate records are more easily identified and eliminated, and that the most succinct, precise, primary record in the best medium for a particular function is more readily targetted (or "appraised") for archival preservation. In Winnipeg, numerous administrative units in several departments deal with the functions of zoning or land management, to give but two examples. Macroappraisal looks at these functions as a whole, in order to isolate the best record for preservation.

Macroappraisal is also supportive of the private-sector acquisition strategy mentioned above. The archivist must also ask, with archival partners: which functions are poorly documented in institutional records and must be complemented or supplemented by private manuscripts, other archival media, oral history projects, and non-archival documentation (publications, "grey literature," buildings, inscriptions, monuments, museum and gallery artifacts, etc.) -- none of the latter necessarily collected by archivists or at least by the institutional or corporate archivist.

Once the macroappraisal is completed, and actual series or classes or systems or collections of records are before the archivist for appraisal, traditional appraisal criteria can be applied to the records in question, where greater granularity is necessary or desirable. Such criteria are used to refine further the value of individual records or small groupings or series of records within the theoretical-strategic functional-structural matrix. Political, technical, legal, and preservation issues are also considered at this point. Known research uses may also be considered, at this final stage only, but not driving the process. If the strategy is called macroappraisal, these record-related criteria are microappraisal. Such microappraisal criteria involve assessing such factors as age, uniqueness, aesthetics, time span, authenticity, completeness, extent, manipulability, fragility, duplication, monetary value, use, etc. Such appraisal criteria are certainly used now in the daily work of archivists and are well articulated in our literature, and thus no more need be said about them here.

For further reading on this theory and its implementation, these sources are recommended to Archives' staff:

Terry Cook, "Mind Over Matter: Towards a New Theory of Archival Appraisal," in Barbara Craig, ed., *The Canadian Archival Imagination: Essays in Honour of Hugh Taylor* (Ottawa, 1992).

Terry Cook, "'Many are called but few are chosen': Appraisal Guidelines for Sampling and Selecting Case Files," *Archivaria* 32 (Summer 1991).

There are also three central reports by Terry Cook or Richard Brown for the National Archives of Canada, drafted in 1999 to update the original macroappraisal framework strategies of 1991, that City Archives' staff may wish to consult when exploring these methods for adaptation to the City. The reports address general macroappraisal theory, appraisal methodology, and appraisal research and reporting structures.

Recommendation 33: The City Archives should develop a new approach to appraising archival records based on the Canadian macroappraisal model, strategy, and methodology, adopted appropriately to municipal and Winnipeg conditions. The concepts, overall strategy and appraisal methodology must be approved by the Records Committee before implementation, and as these may be revised over time.

Recommendation 34: A summary only of the Appraisal Reports and related Records Disposition Authorities (and their schedules of retention periods) for each appraisal project should be tabled with the Records Committee on a quarterly basis for its general review, and for possible further investigation and recommendations.

One cannot appraise all the records of the City at one time, or likely all the records of even one department. Canadian and Dutch experience, which are the most advanced with modern appraisal, demonstrate that it takes a decade or more to move through an administration for the first time appraising all functions and programmes, and all related records in all media. Appraisal should proceed, therefore, within the planned approach to records disposition and scheduling, as outlined in section 6.4 concerning the Multi-Year Disposition Plans. Concentrating functional research efforts on three pilot-project departments, as there recommended, will allow the overall and the appraisal strategy to be honed and refined. Appraising certain functions first can also permit the more rapid appraisal of subservient or dependent functions later, and "planning" the planned approach to disposition should take those archival functional analyses as one of their determining factors in deciding the order in which the work will proceed. Community Services, Health, and Police are cited as departments with good records management practices, and thus as likely departments in which successful pilot projects could be undertaken.

Recommendation 35: The new approach to macroappraisal of City records should be an integral part of the planned approach to records scheduling and records disposition, as set forth in section 6.4 of this report, and should first be tested and honed through the same pilot projects.

Prior to 1996 and the instigation of more rigorous application of transfer procedures (see section 7.4 below), records transferred to the 380 William facility as "permanent" were simply registered and shelved; they were not checked to see if all the records were indeed permanent according to the bylaw provisions or various records schedules (as now published and thus better known in the *Access Guide*). Many were not. Once new appraisal decisions and records disposition authorities are in place, as described above, for the related function or programme, these authorities should be applied to the backlog of older records already at 380 William Street as well as of course to all newer records being transferred to the City Archives proper or to the Records Centre. Departments should share responsibility for this retrospective correction of previous transfers, perhaps in a partnering arrangement by paying for salaries for summer student whom the Archives would train and supervise.

Recommendation 36: New appraisal decisions and records schedules and disposition authorities, once these are in place, should also be applied to the backlog of holdings as the records are ready to move from "record centre" status to "archival" status at 380 William, in projects to be co-funded by the City Archives and the transferring department where records were not sorted at the time of original transfer.

7.4 TRANSFER AND ACCESSIONING OF ARCHIVAL RECORDS

Within the past two years, the City Archives has applied consistently an excellent system to govern the transfer of records to its custody, which could be used whether the records are intended for records centre or archival storage, and for the destruction of non-archival records once their retention period has expired. Transfers are not accepted unless departments can cite a valid records schedule or disposition authority, and have prepared accurate lists of the files being transferred. These lists are checked by Archives' staff for completeness and accuracy and for coinciding with the cited authority — that they are, in short, what they purport to be. The retention period of each file or group of files is noted in Archives' registers, so that destruction can take place at the soonest possible date and efficiently. Departments are always notified before any of their records are destroyed.

This system is commended and should be continued, although automated since the hand-marking of lists, as records are destroyed by the retention date, is rather labour-intensive. Computerized groupings by disposal date would also very much ease the process. Transfer lists in electronic formats would have the additional advantage of being migrated into the Archives' own descriptive information systems for those portions of former records centre accessions having permanent archival value, thus saving later descriptive time and improving service to clients in finding records faster and more accurately. Departments should be strongly encouraged to divide their transfers (and file lists) into two separate groups of boxes, as set forth in the relevant records schedule: 1) temporary records that eventually will be destroyed, and 2) permanent records that eventually will be transferred to the City Archives. For the temporary records, grouping these by common disposal date would also be an efficiency. This would cost the departments nothing, since they have to do this deliberation and determination anyway, and would save the Archives' staff significant work.

Unfortunately, as noted before, there is a very large backlog of records transferred to the Archives over two earlier decades, before the new system was either implemented in part, or consistently enforced, with in many cases only very vague lists, sorted if at all according to poor or no retention authorities. In these many accessions are undoubtedly many files that could have been destroyed years ago, or could now be with changed appraisal decisions and thus new schedules (results in going through the part of the backlog just for the Social Services Department files prior to that function being transferred to provincial jurisdiction indicate that some 70 per cent of the records were not designated as permanent — there is a significant savings in destroying such records more quickly). Because these backlogs resulted primarily from inefficient disposition work by departments, they should share in its correction (as per the previous heading in this section).

Recommendation 37: Except in emergency cases where records are threatened with destruction (fire, flood, abolition of a function), no records should be accepted for transfer to the City Archives and Records Centre (as either a records centre dormant or archival permanent holding) that has not been appraised, does not have an authorized retention period, and is not listed according to Archives' standards and procedures. The Archives' commendable transfer, accessioning, and disposal process should be automated. Some flexibility in this approach could be shown for one-shot transfers of old records, especially abandoned ones by now-defunct units.

Recommendation 38: The Records Committee should review and formally approve the new procedures and forms used for the transfer and accessioning process, and approve their widespread implementation, as recommended above, across City government and their appearance in the next edition of the *Access Guide.*

Recommendation 39: No departmental record in the Records Centre holdings will be destroyed without notifying the department and obtaining its (or its successor's) approval. For records scheduled as permanent that are in the custody and control of the City Archives, should the Archives later wish to destroy the record subsequent to more refined appraisal decisions or locating duplicates, the department must be notified and be given the option of having the records returned to its custody.

Recommendation 40: A summary of the Accession Forms and any Destruction Forms for permanent archival records, but not for Records Centre records, should be tabled with the Records Committee on a quarterly basis for its general review, and for possible further investigation and recommendations.

Debates exists in archival circles over whether all electronic (or indeed other) records must be transferred to the physical "custody" of an archives to be under archival "control" as the law demands, or whether they could be left under the "custody" of their creators in some cases, so long as they met archival "control" standards. International megaprojects on electronic records and leading national archives line up on opposing sides in this issue. All but the most rigid "custodialists" concede that some billion-dollar data systems -- such as space or various environmental agencies retain -- are beyond the practical research even of the most powerful archives in the world. Partnerships are then negotiated whereby certain categories of electronic records, having passed their retention period to come under archival control, may continue to reside on their resident in-house system (but locked from any further alteration or deletion) in some shared-cost arrangement, rather than duplicate the software and hardware at the archives. Such records therefore would not be physically transferred to the Archives. The National Archives of Canada, among others, which uses a blended custodial and non-custodial (or distributed management) approach, and its procedures and standards might be consulted for guidance.

Recommendation 41: The City Archives should explore partnerships with City departments and their IT staff for the long-term custody and preservation of permanent archival electronic records.

7.5 ARRANGEMENT AND DESCRIPTION OF ARCHIVAL RECORDS

This function is critically important for making the collections known to and usable by researchers and for preserving the integrity of the records according to the archival principles of provenance and respect des fonds. By imposing a certain consistency through descriptive standards, the arrangement and description function allows knowledge about archival holdings to be shared in provincial and national networks, thus bringing Winnipeg's rich archival heritage, and Winnipeg's important role in Canadian history, to a world audience. By presenting a consistency of approach and more context about the records creator, and putting it down on paper or on the terminal screen, researchers are empowered to explore for themselves the nature of the collections, rather than always needing the intervention of a senior staff specialist (although some reference questions will always require that).

Description is also the area where partnerships may best flourish and external funding grant monies achieved, which funding is all the more welcome as the Archives is able to keep the results rather than having to turned them over to general City revenues. The vast majority of grants given by the Canadian Council of Archives (almost $2 million annually) since its creation in 1985 have been for "backlog reduction" projects — that is, to arrange, select, and describe the holdings laying unprocessed on an archives' shelves.

Winnipeg is also fortunate to be one of only five Canadian cities (Vancouver and Toronto are the other two in English-speaking Canada, plus Montreal and Quebec City) where its university has a resident Master's-level graduate programme in Archival Studies, the recognized academic standard now for entry into the profession.. Students are required to spend an internship working in an archives in the summer between the first and second year, and are eager for any work experience thereafter -- contract, term, and of course eventually permanent. This pool of enthusiastic and well-trained new archivists is a source of partners generally, as are their professors, and the students are especially useful for arrangement and descriptive projects, usually for modest wages. The City Archives has taken good advantage of this, as noted earlier, and very imaginatively so with the Pan-Am Games Records projects, and this is commended and encouraged.

For description especially, by adhering to the Canadian national RAD standards (*Rules for Archival Description*) at the level of the fonds and series (but not necessarily at the item level, where it is often counter-productive), and by thus by being able to participate in new Canadian Archival Information Network (CAIN) within the Canadian archival community by exporting RAD-compliant descriptions to the national network, which accepts none other, the City Archives also will be eligible for major new series of grants and subsidies for the preparation of those descriptions, and their local automation, that are anticipated to start next year, and continue thereafter.

The City Archives descriptive practices need improvement beyond the item level, which will be treated below under automation. There should be a fonds (previously called a "Record Group") inventory for every major, distinct City records creator, complete with an administrative history (or biographical note in the case of personal papers) and series descriptions for all media produced or received by that creator. These fonds should be arranged (or organized) according to archival principles set forth in RAD. Media records such as photographs should be reintegrated from the Museum Collection (see section 8 of this report for more details) into their originating fonds. One numbered binder for each numbered fonds should be created, in two series, one for the records of City departments and one for private-sector records. The various fonds inventory descriptions could be rolled up in summary form into a repository guide, but that is a less pressing priority. The archives should use its most experienced employee before she retires to create a functional guide to the major activities of all 13 municipalities of unicity linking the administrative changes over time: listing all the various departments, for example, in which the function of managing city parks was found and the dates for each. This would be a very useful tool for functional appraisal and help researchers know in which department's records for particular periods of time information on some activity may be found.

One arrangement and description error is the 1997 Flood Records, which was an Archives' initiative that brought together from various departments documents relating to the flood of the century and combined them into one artificial collection. Despite the laudatory desire to mark this momentous Winnipeg event, this experiment should not be repeated, for it removes records from their surrounding context and destroys the original relationship with similar records, thus undermining significant aspects of their meaning. That is the reason for the archival principles of provenance and respect des fonds. While thematic or subject-based guides on events like the flood or women or ethnic groups can certainly be created to help researchers, these should be virtual or intellectual in nature, not real and physical — pointing to records in numerous collections on some subject, that is, but not bringing them together physically into some artificial new grouping.

The City Archives has made commendable efforts to have bilingual forms for the public. It should adopt a formal language of description policy regarding use of English and French for its finding aids, and later postings to web sites.

Recommendation 42: Archival description (and arrangement) practices at the fonds and series level at the City Archives should be changed to adhere to the RAD format. The City should plan to share its descriptions with the Canadian Archival Information Network (CAIN), should capture as much contextual information as possible about records and their creators in descriptive tools, and should not create artificial or thematic collections of records. Thematic guides to records in various fonds are useful tools for researchers, but records should never be re-arranged thematically. A language policy relating to archival description should be developed and implemented.

Recommendation 43: The City Archives should continue to exploit available grants and local Archival Studies students to aid in its arrangement and description backlog. Adherence to RAD standards will open up significant present and anticipated future funding sources for such work.

The acquisition of the 1999 Pan-Am Games records has been completed. The Archives demonstrated good foresight in planning this project and having a contract archivist work directly with the Pan-Am people to create and manage records in an orderly fashion and to dispose of them before the offices close and people disappear. This very rich body of documentation of one of Winnipeg's finest moments is now being arranged and described in all media formats. The City has wisely funded this project using the same contract archivist and a group of four more on a temporary basis to help him. This should be continued to completion. The Pan-Am Games' archives are as much a "legacy" of this event as any buildings or scholarships that may be created from the Games' surplus funds.

Recommendation 44: The processing and describing of the 1999 Pan-Am Games records should be funded until its completion by using temporary and contract archivists. On a priority basis, the Records Committee and City Archivist should recommend that a portion of the surplus monies left over from running the Pan-Am Games should also be devoted to defraying the cost of the Games' archival legacy by hiring temporary staff to bring order to the collection and to purchasing equipment and supplies to house and shelve it according to archival standards.

7.6 REFERENCE, OUTREACH, AND COMMUNITY VISIBILITY

This is the core purpose of archives: getting the "stuff" out to people, serving the citizens whose taxes fund the Archives, so that culture, history, and personal and group identity are enhanced. Reference service helps researchers find records to use and outreach activities through exhibitions, publications, web sites, school visits, and public lectures make the holdings better known to citizens directly as well as indirectly, of course, encouraging yet more use. These all raise the visibility of the Archives, as do advertisements, proper signage, staff professional activities, association involvement, and cross-references from other institutions and their web sites. These archival activities make the archival collections better known and better used, which in turn promotes Winnipeg's history to its citizens and other Canadians, and thus fulfils a fundamental purpose for having an archives in the first place. Other Canadian municipal archives are very active in this area, and the Winnipeg City Archives is directly mandated in its legislation to promote the City's history as found in the archival records. Provincial and national archives are similarly engaged. To date, it has not been very active in this area, although not for lack of imaginative ideas by staff of what could be done.

Greater visibility for the Archives and its increased use are also important for staff morale in any archives: all the efforts – often silent, unnoticed, and behind the scenes -- to manage better and schedule current records, to appraise, describe, and preserve them, are rewarded when the records are actually used, and staff see people's lives and society's historical memories enriched by an engagement with the past, and usually are warmly thanked for this privilege. Take away that sense of satisfaction and staff wonder what all the other effort is for.

On no subject did the author of this report find more conflicting input than the strategic role for reference and outreach activities in the years ahead. As expressed in the opening observation to section 7, a vicious circle is in place here. Bring increased numbers of people to the Archives before some of the long-overdue records management and archival improvements have occurred, as mentioned throughout sections 6 and 7 of this report, and the result will be significant drain of staff time away from making those very improvements, while delivering a poorer record to researchers. Remain in largely passive reference and outreach mode and, aside from the negative impact on staff morale, the justification for an expanded Archives' programme is harder to make and indifferent external attitudes towards the Archives will continue. External perceptions of the City Archives' reference service are frankly rather mixed, as are attitudes to the atmosphere of the institution. While applauding the excellence of the individualized professional reference services, some potential users see the Archives as intimidating: no external sign, largely "by appointment" service, few contextual descriptions thus precluding browsing, and inconvenient hours. The Archives itself is seen as invisible by some heritage, historical, and archival observers, as not a full player or even a player at all in their communities in terms of participation by the City Archivist with other institutional heads.

Other municipal archives are certainly much more active in this area, and copies of brochures, exhibition materials, lectures series, and so on gathered from them have been passed on by the author to the City Archives staff as examples of what can be done. Researcher reference inquiries are strongly encouraged and indeed actively solicited by these institutions. This should remain the ideal for the Winnipeg City Archives, to be achieved by the end of the strategic plan's implementation period, but it cannot be the reality in the short term, given the other priorities already outlined above.

But things should not remain at the status quo stage either; rather, some continual progress should be made in the interim. For example, the Mayor Juba fonds is arranged and described and ready for use — these papers could be promoted to likely users with minimal reference intervention required of staff because of their good descriptions. Manitoba History is taught in Grade 6 in the provincial curriculum and there is a compulsory Canadian History course in Grade 11, with a unit on the prairies. The Social Studies teachers have an annual meeting in October and development of a document package for classroom use for these grades could be suggested in partnership with school curriculum design specialists; this gets archives into the schools at least in a limited way without the intensity at this time of regular school tours. The "package" so prepared upon teachers' advice may well be an electronic one on a web site (see 7.9 below). Document profiles by staff for the *Manitoba History* journal — a kind of "history of the record" analysis — would be welcome, and would highlight the Archives' existence. A small committee of key users — history professors teaching Manitoba or prairie history, members of local genealogical societies, teachers, local historians — was suggested by a couple of external observers, in order to advise the Archives on how to become more user friendly, achieve better layout of the reference room area and resources, determine the kinds of guides and finding aids that would be most useful and their presentation, and so on. Such strategic thinking early on will help deliver a better reference service down the road, and should be pursued. It would also begin to raise the profile of the Archives.

Recommendation 45: The excellent specialized reference service now offered by Archives staff should continue, when requested, and limited outreach activities with school curriculum designers and history professors should be considered. Users should be consulted regarding the nature of an expanded and enhanced City Archives reference and outreach programme, but for the first years of the strategic plan, such expansion is deferred.

The City Archives is almost invisible in several consulted City publications and guides, where it is buried within the City Clerk's Department -- not listed independently, in a typical example, in the *Municipal Manual 1999* (p.161) on the City's executive and functional organizational chart (although libraries, museums, and heritage are so listed) nor is it mentioned as the authoring entity for the well-received *Access Guide to City Records*. There is no sign outside the 380 William building indicating what is inside this impressive building — the City's own archives! Increasing the visibility of the City Archives in limited ways now -- perhaps more input to City Hall tours, for example -- will enhance the perception of its new role and autonomy, and its administrative importance in the "public trust" argument of this entire report, while not unduly increasing reference loads at this time.

Recommendation 46: That consistent with its proposed increased authority, accountability, and autonomy, the Winnipeg City Archives and Records Centre should be listed prominently in all city publications and organization charts, and that a professionally designed sign, of at least equal size and appeal as those for the city libraries, denoting "Winnipeg City Archives" be erected outside the 380 William building and that the Archives' services and holdings be described to citizens and visitors in City Hall tours.

7.7 ADMINISTERING *FIPPA* ACCESS TO PERMANENT ARCHIVAL RECORDS

Archives' staff require authorization from the creating or transferring or otherwise designated or successor responsible department to release to researchers any City Archives' permanent archival records that fall under the *FIPPA* legislation's exemption clauses. The same would be true for City archival records affected by provisions of the *Public Health Information Act*. Based on the *FIPPA* experience of the province and the very strong advice of the Provincial Archivist in dealing with the same legislation and leading its cross-government implementation, it is recommended that the City Archives' staff should not independently determine access to archival records that are in the custody and control of the City Archives, as the National Archives does for its records, but rather should follow the

Manitoba model and defer this decision-making to the originating department. (Of course, records in the separate City Records Centre administered by the Archives always remain under the control of the creating or transferring department, for *FIPPA* and all other purposes).

In following this approach, there is the need to ensure consistency of decision-making for the release of more recent records, so that citizens are not getting access to, say, an assessment roll for 1995 in a City department and being denied assess for one for 1923 at the Archives. Conversely, some older series of records under the control of the Archives will certainly be released, because of the passage of time eliminating privacy exemptions for example, where their more recent counterparts in City departments could not be. As the City collectively gains experience and sets precedents across departments for the release and non-release of categories or date ranges of current records, the Archives' holdings of permanent records need to be considered as part of this process. An efficient referral mechanism will also need to be developed so that *FIPPA* decision-making by departments for release of permanent archival records held by City Archives occurs expeditiously and does not leave researchers seriously inconvenienced. It is recommended that blocks of older records, wherever possible, be opened as a block or series, or up to some cut-off date, wherever possible, rather than using file-by-file review. Once advice is received from departments that a particular series or group of records may be opened, or even one file, the City Archives thereafter can release all such records to subsequent researchers without further recourse to the creating or transferring or designated responsible department. All such decisions should be well documented, and the Archives should maintain a register or database of which records are have been opened *versus* which ones are closed or still require review. Of course, these new approaches only relate to records originating with the City of Winnipeg. Access to private-sector personal papers or other private media must be determined by negotiated agreement between the donor of the papers and City Archives' staff at the time the records are transferred, and the City Archives' staff alone administers such agreements.

Recommendation 47: The Winnipeg City Archives must consult with the creating, transferring, or designated (or successor) department to determine whether City archival records may be released in accordance with *FIPPA* legislation and regulations. A system to review archival records for release must be implemented, and the access status of series of non-exempted or older records should be clarified as soon as possible. Once a record has been cleared, it may subsequently be released by the Archives. The Archives administers access to non-City private-sector archival records according to the terms of negotiated donor agreements.

7.8 CREATING "THE FRIENDS OF THE CITY OF WINNIPEG ARCHIVES"

Museums, art galleries, heritage and natural parks, and even archives have over the past decade been creating "Friends" organizations. Composed of former and sometimes current employees, history and heritage buffs, genealogists, interested community members, and -- one hopes -- people looking for a home for their charitable donation money, these organizations are useful to archives for providing general support and community visibility, for accomplishing select work through volunteers, and for serious external fund-raising and sponsorships.

Both the Ottawa and Toronto municipal archives make good use of volunteers on a formal basis to do projects, Toronto so much so that it is creating a new full-time archivist position to coordinate the growing numbers of volunteers wishing to contribute their time and skills to the archives' work. With volunteers, two drawbacks must be mentioned: one is ensuring that work assigned to them is of a "enhancement" or "extra" nature not normally done by regular staff (such as indexing names in tax records, or hosting genealogical evening lectures, or school visits), or the labour unions will protest loss of employment opportunities; and the second is to remember that volunteers are almost never professional archivists or records managers, and cannot do most of the institution's work. But they certainly can help.

Funds raised by "Friends" have allowed archives to purchase at auction rare archival documents, sponsored publishing "coffee table" and other books, and produced designer pins, mugs, and badges. Friends sponsor lectures and produce newsletters. Well-heeled donors (who may or may not formally be members of the Friends) in the broadcast world might purchase special audio-visual viewing and preservation equipment for the archives; famous authors might persuade colleagues to donate papers. The list of possible advantages is almost endless. The archival institution in return usually provides limited office space and some equipment for the Friends.

Recommendation 48: The Archives should create a "Friends of the Winnipeg City Archives" to support fund-raising, community outreach, and volunteer coordination, and should also investigate independent fund-raising to support archival activities.

7.9 AUTOMATION

In a commendable effort to gain better control of records and to help researchers to access the collections, the Archives has prepared item-level automated lists in word processing software for some series of records from City Clerk's Department and the offices of former mayors, as well as for many items in the "museum collection." Major automated listings are also being now being created for the 1999 Pan-Am Games Records. Generally, the Archives has also shown real initiative in getting itself computerized in recent years. Although it will have to move to the City's common Microsoft Office Suite platform with its next software upgrade, and then undertake a large-scale conversion of these WordPerfect holdings, this should not be difficult. As noted above (section 7.4), it should automate more of its work processes, especially transfer, accessioning, and destruction listings and access controls.

In order to participate in the Canadian Archival Information Network and adhere to RAD formats, the Archives must migrate its word-processing lists to a database format, one with HTML-exporting capabilities, so that a Winnipeg City Archives web site can be supported and entries sent to the national CAIN system. As noted above, such capability would make the Archives eligible for significant external funding from the Canadian Council of Archives (CCA). The present word-processing formats, while serviceable, and certainly able to create print-outs for shelf-based finding aids, are, in their electronic form, awkward to find and search, harder to cross-link, and limited in terms of numbers of data elements that can be added, in comparison to using database formats. The database that has been designed especially to accommodate RAD-compliant descriptive formats is called GENCAT, by a North Vancouver software company, and many small and mid-sized archives in Canada find it fully suits their needs. Conversely, to maintain City consistency, a programme emulating the key features of GENCAT could easily be written in the Microsoft Access database. This database creation and installation, and migration of the word-processor files into it within a larger RAD-compliant descriptive system, and then development of an Archives' web site and CAIN exporting capability, would be excellent targets for a grant proposal to the CCA, once the new CAIN money is announced.

Recommendation 49: The City Archives should automate its RAD-compliant fonds and series descriptions once these are prepared, plus migrate its word-processing item-level lists, into a database format with HTML-export capability for future web site and network participation within the Canadian archival system. It should seek CCA funding to support this work in its initial start-up phases at least.

The City Archives, once it has RAD-compliant descriptions in database format, should create a City of Winnipeg Archives' web site, and trade links on it with several Manitoba history sites the universities have established, and with other archives, genealogical societies, CAIN, and various provincial archival networks, as a free means of publicity and an aid to partner institutions and especially to researchers through such cross-fertilization. Scanning and then posting groupings of documents to a web page can be a powerful way to make history come alive and get archives better known without unduly increasing traffic through the front door: imagine 50 documents in all media, carefully chosen, captioned, with a brief page or two of introduction, on the Winnipeg General Strike, or on the two great floods of this century, or comparing the two Pan-Am Games; such an electronic "package" would be a great boon to teachers and students, and to Winnipeggers, bringing the Archives right into the schools and homes. A web page can also be used to disseminate various policies and procedures, guidelines and best practices, and common cross-government and institution-specific retention and disposal schedules for the records management programme too, as well as minutes of the Records Committee and Records Management Council, and, as mentioned before, the various editions of the *Access Guide to City Records*.

Recommendation 50: The City Archives should create a web site describing the institution, its operations, and research procedures; mapping its archival holdings in RAD-compliant multi-level descriptions; posting scanned documents featuring collection highlights and famous Winnipeg documentary stories or "packages;" and disseminating records management policies, "best practice" procedures, and formal retention and disposal instruments.

7.10 ARCHIVAL ELECTRONIC RECORDS

There is not much more to say under this heading than has not already been said at length regarding electronic records in section 6.7 above. This is deliberate. While electronic records, like any other technological or medium change, do not alter the fundamental nature of archival work or its core concepts, they do alter its strategy. Archivists traditionally waited, passively, at the end of the records management life cycle for paper records to be transferred to their custody and control; if paper records lay neglected, an experienced hand could usually rummage around in the old files and find what was needed; the survival of major portions of the Winnipeg archival legacy from 1874 to 1978 is a case in point.

For electronic records, that is not the case. The professional literature universally urges archivists to reposition themselves "up front" or "up stream" rather than waiting at the "back end" for records to come. Some prefer to write of a records "continuum" rather than "life cycle" to indicate this greater back-to-front and front-to-back fluidity. Certainly if records are not captured at the time of creation with the necessary contextual metadata, they will be nothing more than detached and untrustworthy data about, rather than reliable evidence concerning, the activities and transactions they purport to represent, to the detriment of the City's administrative needs, its legal purposes, and archival and historical understanding. Again, if archival appraisal and retention specifications are not built into systems at the start, the likelihood of separating the archival from the non-archival later on is radically compromised. This author accepts these arguments without qualification, and they form the basis of the recommendations in section 6 for a close "up front" partnership between records managers, IT system designers, and archivists. Much of what was said in that section involves work by archivists, and thus is part of an archival electronic records programme, and will not be repeated here.

There is at this time no magic panacea. Suggestions to "print to paper" or create COM (computer-output microfilm) are discredited by proven experience of widespread non-compliance even by those creating critical policy records in a minister's office. Moreover, many computer records now have no useful paper equivalents. Either archives collectively -- with their records management and IT allies -- will begin to cope with electronic records in an electronic environment or there will be incomplete archives of this generation and almost no archives of future generations. In an age of information overload, numerous commentators have observed, this generation ironically may leave behind the poorest memory of any in modern history.

To create an archival electronic records programme in an archives, one experienced practitioner quipped, involves four steps: get a computer, get some data, copy the data, and start playing with the copy. While there is some truth in that, those archives that have long-standing archival programmes for electronic records (and they are still distressingly few in number in the world) can testify that it is more complex than that, by far. To outline some identified 22 stages of an electronic records programme is well beyond the scope of this study. The City Archives should commit itself to establishing an electronic records programme at this time, and then gain experience as data begins to arrive. The Provincial Archives is now engaged in a major initiative with electronic records across provincial departments and internally, and following that work, and the extensive professional literature, would be a good start for the City Archives. A book with more than 30 case studies of electronic records practice at the National Archives of Canada will be published next year; there are other case studies in print, and many trial-and-error reports are posted regularly to archival institutional web sites.

The advantages to electronic records are many: savings of storage space; ease of retrieval of files, names, dates, subjects, even words; ability to sample and redact records (removing personal identifiers, for example, to avoid privacy concerns for earlier release of case records); power of linkage and tabulation; and exportable to other computers and web sites. But the disadvantages are also many: absolute dependence on documentation or metadata to make sense of the records; great susceptibility to dust and temperature and humidity changes; fragility of the storage medium and the electronic signals on it; greater potential for privacy violation; and especially hardware and software technical obsolescence requiring the entire holdings of affected archival electronic records to be migrated to new platforms every few years. As mentioned, sometimes this work can -- and should -- be done by partners on behalf of the Archives.

The City Archives has a good technical infrastructure to start this work, and expertise in the City Archivist himself, who has a computer science background. It could experiment with processing the automated tax assessment rolls; paper copies of tax rolls or lists of electors should not be acquired or kept if the electronic records version can be preserved instead by the Archives. These have been in electronic form only since 1993; there were parallel paper and electronic systems from 1986-1993. Since one is committed to the electronic record post-1993, research to determine the readability of the 1986-92 data could be undertaken as an experiment, and good learning experience. If they are readable, the originals should be destroyed unless they contain archivally significant additional information elements.

Recommendation 51: The City Archives, reflecting its similar work with the Records Management Council for managing current operational electronic records, should conduct additional research into provincial, national, and international solutions for managing electronic records in an archival environment, and use the results to establish a viable electronic records programme capacity for archiving systems data, electronic office records, and special electronic multimedia. A strategic plan outlining the various required stages or steps of such a programme, and its phased implementation, should be developed and tabled at the Records Committee for approval. In the interim, experimental pilot projects should be undertaken with select transferred data.

7.11 PRESERVATION AND CONSERVATION

The Archives does not have an adequate conservation or preservation policy or programme, despite several past surveys and assessment studies. The most recent and impressive of these was conducted by Robert Ridgen, Conservator, Provincial Archives of Manitoba (a 5-page letter of recommendations dated 13 June 1997, with an 8-page appendix). The author of this present report also noticed many of the same conditions highlighted by Ridgen, but without his superior preservation expertise or solutions. The Ridgen Report makes practical suggestions for improving storage conditions, from physical protection of holdings to security controls against vandalism and theft, and better means for protection from water, pests and mould, contaminants, and light. Most of his recommendations would cost very little to implement. Several relate to getting advice and additional assessments from the police and fire departments, perhaps especially so with the recent nearby arson cases. Others involve small modifications in staff behaviour and work habits. This is a small price to pay for ensuring the better survival of Winnipeg's archival heritage; this is where the Archives' staff also make their personal commitment to keeping that "public trust" to preserve records.

Recommendation 52: The City Archives should develop a work plan for implementing all the recommendations of the Ridgen Report, including guidelines for staff and researchers, and progress should be monitored by the Records Committee.

The City Archives needs to articulate a conservation and preservation policy, especially as it relates to the handling and storage of archival records. Such articulation would raise staff consciousness, encourage better observation of these standards, and be useful for training and supervising new, summer, and contract staff, and, for some features, also researchers. The basic elements for such a policy were provided by Ridgen in an attachment from the Manitoba Heritage Conservation Service, entitled "Guidelines for Developing a Conservation Policy." There are model policies in other archives, including at PAM. While many issues need to be addressed, this author noted several points in addition to Ridgen's that relate to the records themselves, and which should be included as well. In terms of maps and plans folded on files, or photographs associated with files, there should be a clear policy on what is removed, flattened, cross-referenced, and stored in special media cabinets, and what is left on the file. The archival boxes in the City Archives are generally stuffed far too tightly, which crushes fragile paper, especially the chemical papers used for most office records in the twentieth century and increases their brittleness. Files removed and returned to such boxes especially suffer when they must be crammed back into too small a space. (The golden rule when filling an archival box for permanent records is that when the box is on its side, a flat hand should comfortably fit between the last file and the inner edge of the box.) Archival shelves with older ledgers are too full (Area K, Rows 1-5 are particularly bad; Area I, Row 6, Shelves 211-16 are ideal) and the shelves are sometimes bowing. Bound ledgers should all lie on their side, no more than 12 inches (or 30 cm) in a pile, or 3 to 4 thin books, stacked horizontally on top of one another; many such ledgers are now standing vertically or upright, like a book on a library shelf. Extra shelves should be added to allow for this more generous separation. Rolled maps and plans on the third floor should not stick out beyond the open shelves that house them -- except for the top two rows above head level -- as people passing by knock or graze them and the records are then bent, or brittle pieces fall off, etc. (Flat map storage cabinets are a better option; as older such cabinets are replaced by Property and Development and Public Works, City Archives should try to get them..) Plastic sheeting on the third floor covering the top shelves from possible water damage was often shifted, leaving records exposed. This should be monitored more often and corrected, as the ceiling and floor stains indicate there are water leaks or condensation. This conservation policy could be written on contract by someone skilled in preservation planning.

Recommendation 53: The City Archives should develop a conservation policy relating to storage, processing, and handling of archival records that incorporates the best practices of leading archives and various published preservation standards.

If a disaster preparedness and recovery plan is an essential part of records management in each department for current records (see above section 6.8), then the argument applies with much more force for permanent archival records, which are the small percentage of the whole designated to be kept for all time, including through disasters. A disaster recovery plan is needed for the City's archival records. Again models of such plans are available in other archives, and there is in the City Archives' custody already the 1994 guideline,"Questions to Ask Yourself When Preparing a Disaster Plan by the AAM Risk Management and Insurance Committee." The bottom line is that in times of disasters, such plans have saved many records from damage, and limited damage and speeded repair of others.

Recommendation 54: The City Archives should have a disaster preparedness and recovery plan for all permanent archival records located at the 380 William facility.

Archives need access to conservation labs and professional conservators to do physical restoration, stabilization, and repairs of torn, disintegrating, stained, dirty, or infested documents. A well-equipped small laboratory can cost $200,000 to establish and equip. It is not judged by the author to be a wise expenditure to use a person-year equivalent to hire a full-time conservator or to establish a lab. The Provincial Archives has indicated that it would be willing to share its superb laboratory space, now not full utilized, in a partnership arrangement with the City. There are several early-retired and very experienced PAM conservators who could work on contract in those labs on City records.

Recommendation 55: The City Archives should establish a conservation partnership with the Provincial Archives of Manitoba and freelance conservators to repair damaged City archival records, develop selection criteria and methods for identifying records needing such treatment, and keep a separate preservation line in its budget to ensure such work is done regularly.

Recommendation 56: For this partnership work of providing an external conservation service for the City Archives collections, as well as on-going expenses for implementing the improvements in the Ridgen Report, there should be an annual increase in the operational budget of the City Archives of $12,000.

Initial steps have recently been taken to preserve photographs using an external commercial partnership. In return for physically preserving and cataloguing the photographs in more detail than the Archives' own listings, and doing some restoration work, as well as saving the Archives the time and costs of creating negatives and reproducing photographic prints for clients, the partner makes money by charging clients for reproductions. There is concern that the Archives may lose credit and visibility in such an arrangement, or undermine its ability to attract researchers to the institution if the best holdings are being "creamed" off the top by partner institutions. There are also fears that the partner may charge the Archives itself or citizen researchers the high costs that art-book publishers and film-makers are prepared to pay for the images, and that the collection may be lost if the partner went bankrupt or sold the business. This all indicates that partnerships involve risk, and are never one-sided: there are loses (or potential loses) to go with the gains. Negotiations are required to minimalize the loses and maximize the gains for the City. The City Archives has been imaginative in exploring partnerships with other institutions for preserving heritage materials well before "partnering" became a 1990s administrative trend. Long-terms loans of art have been made to the City art gallery. Certain "museum" artifacts — locomotives for one! — are on loan to groups able to display them.

Recommendation 57: Further exploration of partnering for preservation and display of archival material is encouraged, so long as the Archives receives suitable credit for the use of its materials, and the benefits gained outweigh the costs or disadvantages.

7.12 MICROFILMING AT THE ARCHIVES

Some of the microfilming undertaken by the Archives on behalf of some city departments seems unnecessary, and resources could be usefully diverted elsewhere. In particular, the microfilming of thousands of cancelled cheques of social welfare recipients is burdensome, and has generated large backlogs of unfilmed cheques and thus non-destroyed original records. This filming is done, it has been asserted, to preserve the signatures to prevent bogus double claims, but whether the risk of those few claims equals the cost of preventing them is unclear. Such material should be returned to the creating department and filmed or scanned at its expense through its own in-house (or out-sourced commercial) operations or the facilities operated by Public Works (as outlined in section 6.9 of this report). Re-engineering the business process to use mandatory automated bank deposit of cheques would eliminate the problem, or the originals could be stored in the records centre for a short period of time (say, six months) after first sending general notices in several prior cheque mailings that any claims concerning missing payments not made within six (three?) months were thereafter null and void.

Recommendation 58: Operational microfilming (or scanning) of active records by departments should be their responsibility. Economies of scale and consolidation in this regard, perhaps through the Public Works facility, are encouraged, and should be investigated by the Records Management Council.

Archival preservation microfilming should focus on those pre-1900 records that, because of their crumbling fragility, have had to be withdrawn from circulation and thus researcher use. Most pre-1900 Council minutes fall into this category of being de facto restricted records! An equally important target for early filming are the nineteenth-century letterpress letterbooks for out-going correspondence, where the ink is fading badly because of the flimsy papers then used to captured the impressed copy; experience in other archives reveals the page image will disappear entirely before many more years, thus de facto destroying a valuable record.

Recommendation 59: The microfilming facilities at the City Archives should be maintained and used only to film permanent archival records requiring preservation filming to protect the originals. The City Archives should develop an annual and five-year microfilming plan to make steady progress on the most threatened materials.

7.13 ACCOMMODATION OF THE CITY ARCHIVES

The 380 William facility, the old Carnegie Library, is a magnificent heritage structure. While not physically inviting or suitable as a modern museum, it is ideal for an archives. There was some concern expressed by some observers that surrounding neighbourhood blocks are run-down and that it was no longer located in a desirable part of town. But most felt that, if there is something worthwhile to see or use here, and some exciting heritage activities and displays, people and tourists will come. It is close to the Exchange area and on a major bus route. If the building in future deteriorates structurally to the point where it needed to be abandoned, then the possibility of a joint Winnipeg Museum and Archives (see next section) might be considered.

The building has modernized, computer-monitored temperature and humidity controls, and a good security and fire alarm system. Procedures (and practice) for entry and exit are sound. There are water alarms. Basement shelving is raised off the floor level, and the building is well located in terms of avoiding potential flood waters. The use of compact shelving in the basement is admirable. Wherever possible, the stack areas should be closed off from all office areas and especially from the lunch-room, by use of heavy spring-loaded doors, since all connecting doorways were invariably left open rather than shut. This compromises the temperature and humidity controls, and with food and plants also introduces mould and vermin — all enemies of the preservation of paper documents. Additional suggestions for modest modifications to enhance the building's archival character are in the Ridgen Report and should be carefully considered, and implemented, as noted above.

In terms of optimum building use, records that have not reached their retention period — i.e., Records Centre holdings rather than permanent archival records — should gradually be moved to the 311 Ross facility, primarily from the basement and the Police-records second mezzanine of 380 William. The basement should then be used to store the "museum collection" per se and oversized crated art work now on the third floor, and contain work areas for laying out, sorting, and arranging records, as well as for archival records. Space freed in the upper floors should be used to store the permanent archival records in better conditions as indicated above regarding maps and crowded ledger books, and to accept new accessions of permanent archival records.

Recommendation 60: The Winnipeg City Archives should remain headquartered in the 380 William facility for the foreseeable future. The Archives should therefore plan to rationalize its collections, gradually moving temporary, long-term retention, dormant records to the Records Centre at 311 Ross and then reorganizing the stack and work areas accordingly at 380 William to house permanent archival records in the best possible conditions. All future accessions should be similar divided.

7.14 STAFFING INCREASES AND MANAGEMENT AND HUMAN RESOURCE ISSUES

With an expanded mandate, heightened visibility, raised expectations, and a bigger team, both within the proposed Winnipeg City Archives and Records Centre, but also the virtual team through the cross-departmental Records Management Council, the need for improved and regular programme planning and internal communications will be felt. Everyone needs to know what is going on, and to share in the successes and failures so that the organization may continually improve its performance in meeting its mandate. Annual work plans should be developed, for Records Committee approval, to identify activities and projects needing attention (on both the records management and archival sides of the house), to analyze and articulate individual steps for the more complicated projects, and to place human and financial resource commitments and time frames against each. Quarterly and annual reports of progress and variances (with justifications) against the work plan should be tabled with the Records Committee to ensure the seriousness and accountability of the new strategy. (A parallel work plan and reporting structure has been suggested for the Records Management Council, which in terms of City Archives' input to the Council's activities would overlap somewhat, but that is unavoidable). There is an enormous amount of work ahead, with limited (even if expanded) resources to do it. Therefore, it is all the more important that all staff work together as an integrated team, plan to use these resources wisely, and be able to account for their use carefully and transparently.

Recommendation 61: The Winnipeg City Archives and Records Centre, with its many competing and expanding demands, will require more formal management structures: its manager and staff should plan work and resource allocations carefully and collegially on an annual basis, should both review progress formally and communicate on team projects on a monthly basis, and should report formally on a quarterly basis against the work plan to the Records Committee, as well as in a formal annual report to the Records Committee and, through the City Clerk, to the Senior Management Committee.

On human resource issues, the same point is made here, with even stronger emphasis given the research-based nature of archival work, that archivist positions should be staffed in future by university-educated archivists wherever possible, and ideally by individuals with an undergraduate degree in History and a Master's degree in Archival Studies. The City Archivist, when next the position is vacant, should similarly be a professional and experienced archivist. Allocations of equivalent-level public servants from other departments or City Clerk's, no matter how competent the person, diminishes the professionalization of archival and records management work; the City would not do that, as already noted, for its engineers or medical doctors. The City Archivist and senior professional staff members should be visible at archival and heritage events and associations in the City and province, and nationally, and their records management equivalents, and they should belong to leading organizations like AMA, ACA, and ARMA. The job title of the Records/Information Analysts who are working on the archival side of the operations should be changed to "Archivist." As noted for the senior records manager position, it will be harder to attract and certainly harder to retain (once they gain experience) any life-long professional in temporary or open-ended term positions; the Records/Information Analysts, Archivists, and City Archivist positions should therefore be staffed on a permanent basis; the one present long-time term Records/Information Analyst should be rolled over into a permanent position. There is a lack of progression for clerks doing ever more complex and varied work, and doing it better with more years of experience, short of their leaving the Archives for another department, which would be very counter-productive to honing the excellence of the Archives itself. Staff recognize that they require training in archival processes and procedures. Some of that can be self- and internal group-training by research in the abundant literature as intimated at several points above; some will need to come from external sources, or from newly hired trained employees. A training needs assessment should be undertaken and training should be part of the annual work plan goals.

Recommendation 62: The City should recognize the need to staff the City Archivist, and Archivists (as they should be styled), as well as Records/Information Analysts, as permanent, professional positions with individuals educated in archival or information studies graduate degree programmes. Training and career mobility should be studied to determine how to shape and retain the best possible staff to do the increasingly complex and expanding work.

Despite a staff increase of two in 1995-96 by the appointment of a City Archivist and a term-position Records/Information Analyst to address *FIPPA* implementation and work on the *Access Guide*, and the continuing good use made of student workers under special grant, summer works, and internship programmes, the City Archives is still under-resourced for the responsibilities it now holds, let alone the expanding role this strategy envisions.

While staffing comparisons with other municipal archives are addressed in section 10 below, it is essential to remember that Winnipeg is still very much in a "catch-up mode": for 104 years (1874-1978), there was no archival programme; while wonders have been done in twenty years since by a couple of dedicated individuals, a large backlog remains before the archival house is put in order. Furthermore, the merging of 13 traditions of record-keeping with unicity has created significant additional pressures in terms of researching the context and processing records of the former municipalities. Present permanent and term staff are strongly committed, energetic, and hard-working, as well as very knowledgeable about the holdings. There is just too much work for them to do.

It is recommended that the present staff complement of two Records/Information Analysts, renamed as Archivists, be retained, with the three support clerks, and that any vacancies created by pending retirements be filled with a trained archivist. In order to implement the expanded role and much increased work of this strategy, it is recommended that three new Archivist positions be created and phased in: two Archivists positions in the first phase of the plan to do the macroappraisal and electronic records research and then operational work that is the essential complement to and component of the records management strategy outlined in section 6 of this report; and one Archivist position in phase two to expanded activities into the mandated collecting of private-sector records. A fourth position is necessary for the third phase of the plan to address an active and expanded community outreach and reference programme, of taking the archival heritage out to Winnipeg and Winnipeggers once the internal archival and record management/records disposition houses are put in better order. However, that resource can be transferred from the records management side at that time, as by then that work will be in full operational mode, and over its most intensive initial research, development, and start-up stages.

It is understood that this work, as set forth above, will not be inflexibly assigned only to the positions as indicated, which is just a convenient shorthand; for example, instead on one person only doing private-sector appraisal and acquisition, two people may do it 50 per cent of their time. That will be based on annual planning needs, individual interests and skill sets, and desirability of team-work matrixes. An operational budget increase of $1,000 for each new staff member to cover working tools, computers and upgrades, travel, and increased use of archival supplies (boxes, file folders, etc.) is likewise recommended.

Recommendation 63: In order to resource the archival half of this strategy, the Winnipeg City Archives and Records Centre should have an increased staff complement of three new archivists (two in phase one, one more added in phase two), with appropriate salaries and benefits provided, and a supporting operational budget increase of $3,000 (plus the $12,000 for conservation work already mentioned in Recommendation 56). Present staff levels should be retained, with no further attrition.

8. The Museum Collection

Observations

The Archives has what is referred to as the "museum collection." This is misleading on several fronts and raises several key issues: the desirability of the creation of a Winnipeg City Museum (which is outside the terms of reference of this report, but will be addressed very briefly since the author received several representations on the subject); the present holdings of the "museum" part of the City Archives; and belief that the "museum" part of the Archives equates with an exhibition and outreach programme. These are each discussed below.

The museum holdings -- not counting certain documentary media like paintings, photographs, and postcards that should not be there (see below) -- are by no means a systematic collection of material culture artifacts documenting the life and people of Winnipeg. Often gifts given to the Mayor and other officials when travelling, or to the City by visiting dignitaries, require a safe home, and for now the Winnipeg City Archives provides that storage service. As well, discarded and often large-size paintings no longer wanted for display (many of previous monarchs) are crated up by departments and sent to the Archives. The same is true for various discarded departmental objects and artifacts, such as old cash registers or a coin-sorting machine from the bus transport division. While some of these items are interesting, there is not enough good material to mount any interesting thematic or interpretive displays based on them, beyond the single-item and the decorative: the building model of the Old City Hall placed in the Archives' front entrance lobby is used effectively in that way. The artifact collection is, in short, at the City Archives now simply a holding repository of last resort.

Discussion and Recommendations

8.1 A FUTURE "WINNIPEG CITY MUSEUM"

On the larger museum issue, the foundation of a combined Winnipeg Museum and City Archives -- "The Winnipeg Centre," someone called it -- is a desirable long-term goal identified by several people consulted in preparing this report. The new Museum should not be in the present City Archives 380 William facility, however, but in a new (but preferably restored heritage) building in either the Exchange or Forks districts, where people frequent and where extensive displays and exhibitions can be mounted, for residents and tourists alike. (The tendency of the Forks area to be flooded does not make it an ideal location, however, for fragile artifacts or any archival documents.) Despite the presence of the Manitoba Museum, some feel that a city the size of Winnipeg should have its own municipal museum. While a Museum need not be identified or combined with or located together with the City Archives, this combination works well in other cities, such as Vancouver.

The Museum could combine in one place the various departmental museums now maintained by Police, Fire, Winnipeg Bus Transport, and perhaps others. A Museum serves as a focus for municipal pride and heritage. It respects the Mayor's strategic priority for revitalizing the downtown core and for maximizing heritage tourism. Such a Museum could build exciting interactive exhibitions for all ages — exploring imaginatively for school children, for example, the nature of civic government and its impact on their neighbourhoods, schools, and activities, thus teaching at an impressionable age the rudiments of civic responsibilities and good citizenship. It could sponsor walking tours of heritage Winnipeg buildings and thus enter into supportive partnerships with local businesses as well as federal plans for enhanced interpretation of the Exchange District. Integrating the Winnipeg City Archives and Winnipeg Museum in the same building and as a dual institution could be beneficial to both, reduce costs, and increase quality service to clients and patrons of both.

Recommendation 64: The City of Winnipeg should study the long-term feasibility with federal and other partners of establishing a fully operational City Museum or Winnipeg Heritage Centre, in close association with the City of Winnipeg Archives.

8.2 DISBANDING THE PRESENT "MUSEUM COLLECTION"

The Archives' holdings of "museum" materials is confusing, for these contain both records (photographs, paintings, drawings, etc.) and artifacts (old cash registers, machinery, gifts to the City, etc.). The record or documentary portion should be appraised, those items judged as having archival value should then integrated into the Archives proper and into its multimedia RAD-based fonds and series descriptions, and the rest should be destroyed. Archives are the evidence **in all media** of the functions and actions of the records creator, and separating them by medium does violence to the central contextual principles on which all archives must operate. This includes photographs just as much as departmental files or Council minutes. Within the Archives per se, different media should be stored separately as best preservation standards dictate, but they are to be intellectually integrated as part of the whole from which they came. A photograph of the flood is not just a photograph of the flood. It is a photograph taken by some department or unit with a particular mandate for a particular purpose at a particular place and time; other flood photographs reflect other purposes and mandates. That contextual information is critical to interpreting photographs, or indeed any other recording medium..

The artifact portion of the "museum collection" -- the non-documentary objects -- should be stored in the basement of 380 William until such time as a City Museum is created, and then transferred to that museum permanently. If it is decided (after the study mentioned in the last recommendation) not to have a City museum, then the City Archives should get out of the artifactual storage business entirely, and turn its physical artifacts over to some other institution or group.

Recommendation 65: The City Archives should remove all recorded or documentary items -- paintings, photographs, oversized maps, postcards -- from the so-called "museum collection" and integrate these, after appraisal, as permanent archival records. The objects or artifacts in the"museum collection" that are not documents should continue to be stored by the Archives on behalf of the City pending a decision to establish a Winnipeg City Museum; if that decision is negative, the artifact collection should be transferred to some other institution or destroyed.

9. The Records Committee

Observations

Based on the *City of Winnipeg Act* and Bylaw 6875/96, the Records Committee already has an important mandated role in the City Archives' operations, and this strategy recommends in several places that its role be considerably expanded. As a senior cross-departmental and citizen's group, it gives the archival and records management programmes important status, useful advice, and valuable feedback, and it serves as an accountability watchdog and as a liaison with the City's senior management.

Judging from past minutes and interviews, the Records Committee has not been carrying out the full extent nor active nature of the statutory responsibilities given to it. Therefore, the role of the Records Committee as advisory or decision-making body needs to be clarified, in terms of both operational and strategic activities, and especially in the critical area of approval of records destruction. The level of its decision-making also needs to be clear. Interpreting its broad mandate literally, the Committee might find itself doing all that is anticipated of the new Records Management Council and the City Archives! Its de facto assumption of interest in past years for archival as well as strictly records management issues also needs to be recognized, a development that this author recommends and that work-place reality of a common records "continuum" reinforces. Although archives and records management are distinct professions, their intricate interrelationship for modern records should be reflected in the concerns (and name) of the Records Committee.

The Records Committee needs to have its role and activities better known. It should certainly prepare and submit to Council, as is required by its mandate, an annual report on the state of records management in the City and the past year's work plan goals and activities from the City Archives and Records Management Council; raise therein as well any concerns or issues requiring executive or political attention; submit any necessary bylaw amendments; and outline the following year's goals. This process would encourage more senior management attention and departmental compliance, as well as help to raise, as is much needed, the profile of records managers and archivists, and their important activities in the "public trust" and for the corporate memory of the City. In terms of any decisions made accordingly by Council, the formal mandate of the Committee requires it to have these implemented. This reporting process would also help keep this strategic plan before the City over the years ahead. The minutes of the Records Committee should be formally clerked, as are those of other official City Committees, and should be sent to all CEO's and the CAO, and to the chairs of all other City Committees as listed in the *Municipal Guide*.

Discussion and Recommendations

The role of the Records and Archives Committee (as its recommended new styling) should be less advisory (although its members' input in that regard should continue to be welcome), as it should be a decision-making and accountability body for the Winnipeg City Archives and Records Centre and for the Records Management Council.. The Committee should be presented with reports, policies and procedures, and work plans, with enough surrounding contextual information, that are intended for its formal approval or decision making, and less with material just "for your information only." The Committee is the key liaison in the "public trust" between the records management and archival functions of the City and the people or citizens through City Council. The City Clerk, as the Committee's representative on the CAO's Senior Management Committee, maintains liaison with departmental CEO's to marshal their continued support.

In a sentence, the Records and Archives Committee should be a steering committee or board of directors for the work of the Winnipeg City Archives and the Records Management Council in one direction, and a clearing house in the other direction to the Senior Management Committee and to EPC and City Council. It does not approve the day-to-day work, but it approves all strategic directions, policies, procedures, and work plans that govern the day-to-day work, and monitor the work to make sure it adheres to what the Committee has approved.

Recommendation 66: The Records Committee, renamed the Records and Archives Committee, is the decision-making body and accountability focus for the City's records management and archival programmes, and reports via the City Clerk to the Chief Administrative Officer and the Senior Management Committee, and via its own formal annual report directly to City Council. The Committee collectively approves all proposed bylaws and bylaw amendments relating to records management and archives before these are presented to senior management and Council.

Recommendation 67: The Records and Archives Committee is responsible for ensuring progress is made against this strategic plan, once approved, and for requiring all necessary reports, work plans, policies, procedures, and other material necessary to perform this monitoring and accountability role.

Recommendation 68: The formal membership of the Records and Archives Committee should be expanded by one to include an active, sitting departmental member of the Records Management Council. Other observers and expert witnesses are invited at the Committee's discretion.

Recommendation 69: To enhance its function, and to ensure wider and better compliance with records management and archival policies across the City, its annual report to Council and its minutes should be distributed widely among city managers and workers in records management units.

In light of the argument in section 6 that the City Archivist should be the professional assigned responsibility for control of records destruction in operational work-place reality for individual records and series or collections of records, the role of the Records Committee should be to approve general appraisal (and thus destruction) strategy and methodologies upon which the Archivist and his staff make those individual decisions, and to review the results of the Archivist's decisions on a periodical basis in light of these appraisal strategies and methodologies. The Committee should also advise the City Archivist on the whole range of records management and archival issues, and on the most appropriate bureaucratic and political strategies within City administration to assure the success of these programmes.

Recommendation 70: The Records and Archives Committee should approve the formal, general appraisal and destruction policies, strategies, methodologies, and selection criteria used by City Archives staff and ultimately by the City Archivist to decide which records are to be kept permanently and which are to be destroyed. The Committee should review summaries of such individual keep-destroy decisions periodically to determine that its approved general directions are being followed.

10. Strategic Directions in Three Phases

The foregoing analysis and recommendations present an opportunity and challenge to the City of Winnipeg. The opportunity is to build the Mayor and Chief Administrative Officer's leaner, smarter, more efficient civic administration through better records management and to enhance citizen's understanding of Winnipeg rich heritage through better archival collections and services. The challenge is how to make this happen, for clearly there is too much work here to proceed all at once, even with the recommended increases in resources. And to set the approach and costs in perspective, some comparative and cost-benefit information was requested by the Records Committee.

Options, Comparisons, and Cost/Benefits

In the abstract, there are many possible options for organizing an archival service. In reality, only one can be seriously considered, although some of the strengths, without the weaknesses, of the other models have been incorporated into the recommendations of this report. The reality for all Canadian municipalities, and for Winnipeg, and the strong opinions of senior observers inside and outside the City's government, is that major cities should operate their own archives as a stand-alone, identifiable institutions.

Other options are assigning the archival function and collections to each City department, to the provincial government, or to the private sector. None of these are addressed here in detail. The first two were considered and rejected by Lea Frame in her 1995 study and this author finds no reason to question her conclusions and other reasons to support them. Creating at least 11 departmental archives, plus City Clerk's, as attachments to their records management operations or perhaps to departmental libraries or public relations units, fragments the archival heritage, encourages duplication in appraisal when done in twelve isolated cells, generates as a consequence poorer and more costly archival records, inconveniences researchers, forfeits all economies of scale and expertise, loses central direction and policy implementation, and, most seriously, either ignores the complexity of archival research and work or duplicates it twelve times over. It also violates at least the spirit of the *City of Winnipeg Act*, as do the other two options, in terms of the implications of the clause on the duties of the required City Archivist. Moreover, given the poor state of records management in Winnipeg in the past when left on its own with little central direction, the prospects of such a decentralized regime managing archives professionally and responsibly are not reassuring. Nevertheless, there is great knowledge and expertise in line departments about their records and business functions, and the City Archives' staff need to tap into that much more closely on a shared partnership model, such as is being recommended in this study.

While the provincial archives has indicated a willingness to consider providing records management services to the City and to acquiring and/or storing its archival records as well, it has made it very clear that this would only be on a full cost-recovery basis. Thus, the City would be paying roughly the same costs, but losing control over shaping its own records management operations to reflect changing administrative needs and losing the identifiable civic pride (and credit) of having its own archival heritage identified with the City. There is no example known to the author of having private-sector, for-profit corporations operating any public jurisdiction's records management or archival service, with the exception, as noted, of records centre warehousing activities where cost beneficial. Nevertheless, partnerships with the Provincial Archives, in the areas especially of electronic records management projects and shared conservation laboratories, or with private-sector companies, in the area of photograph processing and reproductions or conservation treatment, are recommended in this report to take advantages of aspects of these other options.

There are some examples of wider cooperative partnerships. For example, The Queen's University Archives in Ontario is also the Archives of the City of Kingston and of the Kingston General Hospital. The Nanaimo City Archives in British Columbia shares facilities with regional and educational archives, as does the Simcoe County Archives in Ontario. This regional partnership model -- usually for much smaller cities than Winnipeg -- does inspire the suggestion made in this study that the Winnipeg City Archives provide archival (but not records management) services for the Winnipeg school boards' archival records, in return for transferred funding for one archivist person year equivalent

Cost/benefit analyses are hard to pin down and the results are often illusive. Readers will find in Appendix B the cost/benefit statement drawn up by the City of Toronto Archives in proposing its revamped records management and archives programme. Toronto City Council accepted these arguments and approved the proposal in July 1999, of which this chart is the "at a glance" summary. For almost all of the features on the Toronto chart, there are Winnipeg or Manitoba equivalents, and similar "program components" are recommended in this present report with, it is believed, similar or analogous cost/benefits to be gained by Winnipeg. This is the best such statement found by the author of the benefits of a sound records management and archival programme.

In terms of hard-costs savings, as mentioned before, there are demonstrable savings of storage space and equipment, and of civic workers' "search" time when dealing with compact, well-organized, and easily retrievable records rather than their opposite. Some of the calculations of potential best cost/benefit ratios, as noted under section 6.3 on the record inventory, require hard statistical data on all existing records (based on records inventories), their growth patterns, usage rates and trends, retention period analysis, and so on, none of which Winnipeg has.

Even with such information in hand, hard-cost/benefit analysis is a tricky game, often revealing the old adage that statistics can lie. Gordon Dodds, the Provincial Archivist, reports that Manitoba tried this kind of analysis some five years ago, and realized that the results were misleading; he does not recommend such an approach as the basis for decision making. Rick Barry, an internationally renowned records management consultant, who built the records systems for the World Bank and International Monetary Fund, communicated with the author that there are no reliable and complete cost-benefit models for records management, and less so for archives. He asserts that one would have to build a cost/benefit model from many components, for **some** of which there are models and case studies. Just to figure the hard costs/benefits of a poor *versus* a good records management system in terms of physical space costs, one would have to consider not just the cost per square foot of office rental or the amortized purchase price, but the amount of extra required filing and other storage equipment and the additional space these take; their extra maintenance, repair, and replacement costs over time; the impact of bigger or more offices on cleaning, lighting, heating and air conditioning costs – as well as the impact of the office turnover rate and the need to move records-storage furniture accordingly and train newly arrived staff more intensively in working with poor records. The increased microfilming and preservation costs for poorly stored records must be factored in as well. There are web sites, Rick Barry advises, containing models to calculate some of these costs, for example, those maintained by the International Facility Management Association or the Building Owners and Managers Association, among others. None of the hard figures (and their change over time) that are needed to populate these kinds of models exists for Winnipeg, however, and so these sorts of calculations are not possible, especially with the companion lack of basic information, as noted, about the total volume, growth, use, and disposal of records that would be so stored in such physical spaces. While building such models is beyond the scope of this contract or the author's expertise, it is not recommended that the City attempt them either.

There is certainly anecdotal and case study evidence that good records management improves worker efficiency and productivity, elevates morale, allows wiser and more consistent decision making, staves off legal challenges, protects rights and privileges, and betters serves clients and citizens, as well as enhancing culture, heritage, and history, but those are all "soft"costs/benefits. The new Treasury Board of Canada findings, already cited above, that 25 per cent loss of work time is lost because of bad records management is a stark reminder that the cost of the status quo is high. But for now, for Winnipeg, such anecdotal evidence is all that can be marshalled.

Comparisons with resources used for the records management and archival functions in other Canadian city archives is also a tenuous activity. There are so many conflicting variables, that it is a bit like comparing apples and oranges, or sometimes even apples and horses. There is the size and relative population of the cities to consider. There is the age and tradition or the newness of their archives, and the complexity of the archival holdings. And there is the breadth of their mandates. So, for example, Ottawa and Vancouver's archives just cover the inner cities, not a larger unicity like Winnipeg; adjoining cities of Greater Ottawa and Greater Vancouver, such as Gloucester, Nepean, Burnaby, Delta, and North Vancouver, all have their own municipal archives. Including the City Archivist, the Vancouver City Archives has a staff of 11 and Ottawa has one of 5, but Ottawa (a much smaller "core" city) has no records management or records centre function included as does Winnipeg, while Vancouver only runs a records centre for non-active records, but beyond that also has no records management function. Not surprisingly, both Vancouver and Ottawa have very strong private-sector archival holdings, and weaker City records in their collections -- the opposite of Winnipeg. Vancouver, like Toronto, has an extensive exhibition and outreach programme, but Ottawa does not. Vaughan, Ontario, has only 2.5 staff members and runs a full "total archives" mandate, but does not have direct responsibility for records management, and is a very recent city (a new bedroom community north of Toronto) with far fewer records than Winnipeg's complex legacy from 13 municipalities. The new merged City of Toronto Archives has a total of 49 staff: 32 on the records management side and 16 on the archives side, plus the City Archivist. While Toronto does more direct "hands on" work in building and directing departmental records systems than is envisioned in this report for Winnipeg and has just about 3.5 times Winnipeg's population (major surrounding cities like Mississauga and Oakville are not part of the new merged City of Toronto), the new City of Toronto Archives also inherits from the old City Archives and newer Metro Archives, which it now combines, excellent records management systems and well-organized archival collections, which Winnipeg generally does not enjoy. All these archives, like Winnipeg, participate actively in obtaining various archival and heritage grants and participating in summer works programmes and all use archival student workers where available, and some, like Ottawa, Vaughan, and Toronto, also use volunteers regularly.

In assessing these models and traditions, Winnipeg is closest to Toronto in terms of mandate and seems, to this author, to have the best internal organization. While Toronto does more work in departments and more exhibition and outreach activity than envisioned for Winnipeg in the near future, Winnipeg has a more serious records management deficit and a more recently founded and less organized archives. Yet the new merged City of Toronto also has some of the same features of Winnipeg's unicity in having to cope with records of many former "feeder"municipalities. On that basis, a resource allocation of roughly one-quarter of Toronto's seems comparable, and that has guided the author's calculations and recommendations in this report.

Recommended Strategic Plan and Phased Implementation

Mayor Glen Murray in his 1999 State of the City address adopted the stance of looking at Winnipeg in the year 2010, and expressing what he saw and what he liked about the city from that vantage point. He was in effect stating his vision now for the next ten years. He hoped, among other things, that Winnipeg would continue as the Midwest's "most famous historic city," whose "culture and history" make it a leading tourist destination. He added that "the city that breathes history has made history...." And Winnipeg's history resides in the City Archives more than any other place, where researchers find sources to restore famous Winnipeg buildings and districts, create and interpret Winnipeg historic sites, put "nostalgia" photographs in Winnipeg restaurants, hotel lobbies, and businesses, and fill the City's publicity brochures with stories and images of Winnipeg's past -- as well as of course to research and write the historical works, that directly, or transferred indirectly through film, television, and school texts, tells the history of the City and its peoples.

To allow Mayor Murray to breathe that historic air in 2010, this strategic plan has three phases over an eight-year cycle, so that, before the end of the first decade of the new century, Winnipeg will have a rejuvenated records management system supporting the leaner and smarter civic administration that the Mayor also envisions and a dynamic archival programme addressing all dimensions of its mandate and sharing its treasures with the community, offering Winnipeggers a proud heritage to anchor their present so the future may be more assuredly embraced.

The proposed strategic plan has short-, medium-, and long-term phases, of roughly three years each (the first is shorter to get the infrastructure and guiding policies in place as quickly as possible). The most pressing priority is the records management infrastructure. Yet it is important not to blur records management and archives, in concept or in planning, or to overlook archives. They are separate professions and separate initiatives -- essential allies and partners of each other to be sure, but not a single integrated professional. While both look after records, their aims and purposes in doing so are distinct. The good start in 1977-78 of establishing the City's archives, accelerated in 1995, should not be stalled or sidetracked by the legitimate concern to improve records management. Two streams of invigorated activity are needed, and therefore are suggested in the plan outline below. This three-phased approach recognizes the reality that all the needed work cannot be done at once, even with the resource increases that have been recommended.

In the first phase, 2000-2002, the focus would be on the records management infrastructure, policy development , and testing new approaches through pilot projects; and on getting the present Archives and Records Centre operations ready to participate in appraisal and disposition of City records and on correcting some description and preservation concerns.

In the second phase, 2002-2005, the emphasis would be on launching multi-year disposition plans with one-half of the City departments and managing electronic systems; and on expanding the Archives' activities to include all City departments' records, all media, and some private-sector records.

In the third phase, 2005-2008, the emphasis would be on launching multi-year disposition plans with the other half of the City departments and instituting records audits; and on extending the Archives' reach to the full extent of its mandate with private records, more aggressive outreach (web-site, educational, and reference services), and resolving the useum issue.

The bare bones or this plan are set forth in the chart below, which really is a skeletal summary of the **principal** recommendations of this report. Following the chart, there is a follow-up suggestion of how to put flesh on this skeleton once the report's recommendations are amended and approved.

Strategic Phase	**Principal Goals**	**Resources**
Phase One 2000-2002 General and Infrastructure	Finalize recommendations in Cook Report at all appropriate levels Develop *Strategic Implementation Plan* (see text following table), to be reflected in a revised Winnipeg Business Plan Prepare necessary bylaw changes regarding mandate and name changes for the Winnipeg City Archives and Records Centre and the Records and Archives Committee; destruction authorization; records "control" by the Archives; mandatory transfer after 25 years; and FIPPA administration Prepare necessary authorization for resource increases for implementation of plan, as summarized in the right-hand column of this chart	Present resources levels and operational budgets are to be maintained, with additions noted under relevant phase below, and no further attrition

Phase One 2000-2002 Records Management	CAO and SMC's CEO's designate departmental Senior Official for Records Management (RM) Records Management Council created New RM reporting and accountability structures put in place RM "best practice" policy and procedures manual approved and launched RM "awareness" campaigns with all City workers launched, and repeated over time Records inventory pilot project done, and based on lessons learned, inventory launched in all departments Multi-Year Disposition Planning (MYDP) pilot launched in three departments Cross-government or multi-institutional disposition research undertaken and most pressing needs or areas targetted Microfilming/digitization feasibility study done Scanning/digitization policy and source-document disposition authority issued Electronic records management research completed, and results made part of document management software roll-out in departments Interim database policy issued Vital records and emergency preparedness and recovery policies are issued Full service Records Centre at 311 Ross Access Guide revised in late 2001	3 new person years (Senior Records Manager, Records Analyst, Records Centre clerk) assigned to the City Archives $12,000 operational (The two professional positions to be continuing, permanent, and staffed with professionals.)

Phase One 2000-2002 Archives	Mission and mandate statements completed New approach to archival appraisal researched, and appraisal policy strategy, methodology, and criteria are put in place. Full macroappraisal research and analysis for three departments' pilot project MYDP's Electronic archival records research completed, and strategic plan for implementation of an electronic records archives is completed New transfer, listing and destruction procedures codified, automated, and promulgated Microfilming of departmental records stopped, and plan for filming fragile permanent archival records developed and work begins Collecting of published materials (beyond a small reference library) is stopped and partnership with libraries negotiated Old pockets of records (beyond 25 years in age) are systematically identified and transferred to the control of the Archives Private-sector acquisition liaison and planning, and moderate expansion of acquisitions of papers of senior politicians and civil servants Implementation of the Ridgen Report on preservation and conservation begun Establish automated RAD infrastructure, and adopt RAD and describe all present (and future) fonds and series in this format for all records under Archives "control" only Create users group and begin consultations on improved reference and outreach Modest increase in visibility including new sign	2 new person years (Archivists) assigned to the City Archives $3,000 operational (The two professional positions to be continuing, permanent, and staffed with professionals: current Records Analysts to be renamed Archivists and put on same permanent basis)

Phase Two 2002-2005 Records Management	Records inventory completed for all media in all departments, and annual updating plans are in place, activated, and monitored Cross-institutional disposition authorities completed and issued. MYDP work continues in three pilot departments, and lessons learned are generalized for other departments MYDP work begins in one-half of the other departments Control of electronic records in office systems is achieved and these become part of normal records management and disposition Vital Records Programme is in place and required records copying and storage is underway Emergency Preparedness and Recovery Programme is in place in each department Access Guide revided in 2004, with web site continual modification now in place Web site for all records management policies, plans, procedures, and disposition in place.	Two new additional person years (2 Records Analysts) assigned to the City Archives No operational increase (The two positions to be continuing, permanent, and staffed with professionals.)

Phase Two 2002-2005 Archives	Full macroappraisal support for continuing three pilot project MYDP's, and for the additional one-half of the departments brought on stream with new MYDP's Full macroappraisal support for cross-institutional disposition authorities Electronic records archives are operational Implementation of the Ridgen Report on preservation and conservation completed Conservation policy written for Archives Disaster Preparedness and Recovery Plan developed and implemented Conservation and restoration partnership agreement negotiated with the Provincial Archives ($15,000 annually for conservator, space, and supplies) Private-sector acquisition expanded to include citizen and lobbying groups. Negotiations conducted for school boards records partnership Joint departmental-Archives backlog reduction plan in place as new appraisal and disposal authorities are approved, and rationalization of 311 Ross and 380 William facilities proceeds "Friends" group created for Archives Archives web site established for description of holdings, now also exported to the Canadian Archival Information Network (CAIN); and general institutional information.	One additionalnew person year (1 Archivist) assigned to the City Archives $15,000 operational, continuing (This position to be continuing, permanent, and staffed with a professional.) Possibly one additional Archivist to be funded by school board, on a continuing basis

Phase Three 2005-2008 Records Management	Audit of records management programme, policies, procedures, and practices implemented, on a corporate-wide and departmental basis, on a regular cycle MYDP work concludes in three pilot departments, and continues in the first one-half of the other departments. MYDP work begins in the second and remaining one-half of the departments Policies and procedures developed for on-going maintenance and periodical updating of disposition authorities for departments whose records have all been scheduled and appraised once under the new system Vital Records Programme copying and storage arrangements completed Access Guide revised in 2007, with web site continual modification always on-going	None

Phase Three 2005-2008 Archives	Audit of archival programme, policies, procedures, and practices implemented Full macroappraisal support for MYDP's in all departments brought on stream with continuing and new MYDP's Private-sector acquisition expanded to Winnipeg-wide scope in all aspects of human and organizational activity. Joint departmental-Archives backlog reduction project completed, and rationalization of 311 Ross and 380 William also completed, into entirely separate archives and records management facilities "Friends" group expands for more aggressive fundraising and select use of volunteers Archives web site expanded to include scanned records and historical thematic "packages," particularly aimed at schools and developed with curriculum experts, and virtual exhibitions Active promotion of Archives services and collections to increase research use, including travelling and in-house exhibitions Status of City Museum decided Documentary items in present "museum collection" integrated to archival collections and descriptive systems, and balance of artifacts turned over to the new museum or disbanded to other bodies	None (see note)

Total Resources	Phase One:	5 person years and $15,000 (3 RM and 2 AR)	8 person years with salaries and benefits, continuing from phase two onward (ca $400,000) $30,000 operational, continuing from phase two onward
	Phase Two:	3 person years and $15,000 (2 RM and 1 AR)	
	Phase Three:	No new resources, but see following note	

NOTE: It is anticipated that, as the priority work on records management is under control, that one or two Records Analysts may be converted to Archivists near the end of the third phase, as archival holdings and thus work (if the records management programme is then successful) will be increasingly significantly in volume and will acquire more resources, and there will be increased numbers of researchers and outreach activities.

There are many recommendations in this report, and even more suggestions in the text leading up to the recommendations. The above tables by no means summarize them all. Many of the "softer" issues about communication, publicity, management, and training, for example, are not included, but obviously without them, the new programme will be a failure. There seems little purpose extending this report now, however, by slotting the full text of each recommendation into one of the seven categories in the three phases of the above strategic framework. As the report is discussed, the recommendations will doubtless be changed: adjusted to meet City priorities, some possibly supplemented, some possibly rejected. Moreover, if the resource recommendations for eight new permanent positions and $30,000 in operational funds are not granted in full, or are granted more slowly over time, or indeed more resources are granted, then that clearly will also have an impact on what can be done and when it can be done.

Once the recommendations and resources are finalized, the author's final recommendation is that a *Strategic Implementation Plan for Records Management and Archives in Winnipeg* be created based on the present document. This implementation plan would analyze and then place all the required tasks into one of the seven blocks in the three phases of the above strategic plan. This *Strategic Implementation Plan* will then become the central guiding document for restructuring the archives and records management services of Winnipeg, and from it the work plans will be created, the actual work projects done, and against it progress reports will be measured and accountability assured. Its critical elements should also be reflected for consistency in the next revision of the City of Winnipeg Business Plan.

Recommendation 71: Once all the recommendations in this report (including new resource levels) have been finalized and approved to meet Records Committee, Senior Management, and Council wishes, the City Archives as its first priority should study this report and place each approved recommendation (and major known processes steps for each) as an action goal into one of the seven parts of the above strategic outline to create a *Strategic Implementation Plan for Records Management and Archives in Winnipeg*. This document will form the broad planning framework against which should be drafted annual work plans for the Records Management Council and the City Archives, and it will also be the central basis for monitoring progress being made towards improving records management and archives. The *Strategic Implementation Plan* itself should be approved by the Records Committee and Senior Management Committee, and its results thereafter reflected in the City's Business Plan.

Terry Cook
Clio Consulting

99-11-29
Date

Appendix A: Persons Consulted in the Preparation of this Report

City of Winnipeg

Senior City Officials and Policy Advisors:

Dorothy Browton, City Clerk
Richard Kachur, Deputy City Clerk
Gail Stevens, Chief Administrative Officer

The City of Winnipeg Records Committee (as a group)

City Archives and Records Control Branch:

Marc Lemoine, City Records Manager and Archivist
James Allum, Records and Information Analyst
Mary Jambor, Records and Information Analyst
Gladys Legal, Records Transfer Technician
Evelyn West, Microfilm Operator

Carey Isaak, Contract Archivist for the records of the Pan-Am Games
Calla Grabish, Contract Archivist (summer)
Cynthia Kent, Contract Author of the Kent Report on City Records Management

City Departmental Officials:

Gordon Courage, Manager, Support Services Division, Property and Development

L.S.W. (Bill) Larkin, Manager of Engineering, Public Works
Kenneth Rosin, Manager, Transportation Division, Public Works
R.M. (Bob) Sciberras, Supervisor of Central File and Microfilming Services, Transportation Division, Public Works
Ron Steinke, Principal Clerk, Finance and Administration Division, Public Works

Joe Kulyk, Records Manager, Community Services

City Heritage Officials:

Kenny Boyce, Mayor's Representative for Cultural and Film Initiatives
Giles Bugailiskis, Senior Heritage Planner, Property and Development
Jack Templeman, Curator and Historian, Winnipeg Police Museum

Manitoba Archival and Heritage Community

DeLloyd Guth, Professor of Law, University of Manitoba, and member of the City of Winnipeg Records Committee
Tom Nesmith, Associate Professor of Archival Studies, University of Manitoba, and member of the City of Winnipeg Records Committee

Gordon Dodds, Provincial Archivist
Peter Bower, Privacy Ombudsman for Manitoba, and former Provincial Archivist
Nancy Stunden, manager, *FIPPA* and government records, Provincial Archives of Manitoba

Diane Haglund, Association of Manitoba Archivists
Michael Moosberger, University of Manitoba Archives

Gerald Friesen, Department of History, University of Manitoba
Ed Rea, Department of History, University of Manitoba
Randy Rostecki, Historical Consultant, Winnipeg

External Archival Contacts

Michael Moir, Director, Corporate Records Systems and City Archivist, City of Toronto Archives (the new amalgamated city and amalgamated archives)
Karen Teeple, Manager, Archival Programmes, City of Toronto Archives

Sue Baptie, City Archivist, City of Vancouver Archives
John Chang, Records Manager, City of Vancouver Archives
Ann Carroll, Archivist (and web page designer), City of Vancouver Archives
Angela Schiwy, Archivist, City of Vancouver Archives
Carol Haber, Archivist, City of Vancouver Archives

David Bullock, Deputy City Archivist, City of Ottawa Archives
Serge Barbe, Archivist, City of Ottawa Archives

Jeff O'Brien, City Archivist, Saskatoon, Saskatchewan

Dan Zelenyj, City Archivist, City of Vaughan, Ontario

Mark Stevens, City Archivist, City of Sydney Archives, Australia

Peter Crush, City Archivist, City of Adelaide, Australia

Appendix B: City of Toronto Cost/Benefit Analysis

Links Between Key Program Components and Business Objectives

This appendix is taken directly from the "Corporate Records Management Program" of the City of Toronto Archives, a document presented to Toronto City Council and approved without amendment in July 1999.

Program Components	Corporate Governance Objectives	Operational Benefits/Cost Savings
(1) Records Inventories	Supports corporate legal requirement for Directory of Records (*Municipal Freedom of Information and Protection of Privacy Act* (MFIPPA), s. 25). Forms basis for retention schedule and corporate records classification system.	Minimizes duplication through identification of available information resources.
(2) Corporate Records Classification System	Facilitates due diligence when responding to requests made in relation to MFIPPA, legal discovery, hearings, inquests, and audits.	Improves information retrieval for decision-making and program delivery, and assists corporation to locate information across departmental lines especially during reorganizations.
(3) Records Retention Scheduling	Meets corporate legal requirement for Records Retention By-law (*Municipal Act*, s. 116). Meets legal requirements for destruction policies and retention of personal information (Regulation 823, ss. 3, 5 under MFIPPA).	Reduces costs of maintaining and searching through obsolete records.
(4) Active Records Management	Facilitates due diligence when responding to requests made in relation to MFIPPA, legal discovery, hearings, inquests, and audits. Meets legal requirement for policy restricting access to records (Regulation 823, s. 3).	Provides cost savings for office space and operational benefits through specialized service delivery.
(5) Records Centre Services	Meets corporate legal requirement for preservation and security of records (Regulation 823, s. 3).	Minimizes storage and maintenance costs and improves efficiency.

(6)	Vital Records Protection	Supports corporate mandate for emergency planning and disaster recovery (*Emergency Plans Act*).	Provides access to critical records needed for business continuity and emergency responses.
(7)	Records Disposition	Limits corporate liability arising from unmanaged retention and disposition practices.	Minimizes storage and maintenance costs.
(8)	Archival Preservation/ Access	Meets legal requirement to preserve and provide access to records of Council or under the Clerk's control (*Municipal Act*, s. 73-74).	Preserves corporate memory and supports open, accessible government.
(9)	Corporate Practices/ Standards	Meets legal requirement for corporate records procedures and practices (Regulation 823, s. 3).	Enhances consistency and communication of best practices.
(10)	Electronic Records Management	Supports compliance with emerging legal standards for computerized records (Revenue Canada Circular 78-10R3; *Canada Evidence Act*; *Ontario Evidence Act*), as well as requirements identified under other program components.	Facilitates access, management and preservation of computerized records in all formats, to support long-term operational needs.

Appendix C: Acknowledgements

The author wishes to thank the City of Winnipeg for entrusting him with this study, and particularly the Records Committee for suggesting it, and the City Clerk and City Archivist for working out the contractual details.

All 44 people listed in Appendix A generously shared their time and expertise in records management and archival issues, and their enthusiasm for this project. Without their ideas, this report would not exist. The anonymous creators of municipal archives' web sites around the world must also be acknowledged; much valuable information, including examples of policies and procedures, are freely available for a "click."

Marc Lemoine, James Allum, and Mary Jambor of the City Archives, Tom Nesmith of the University of Manitoba, and Michael Moir of the City of Toronto Archives all went far beyond the call of normal interviewees, meeting me several times, or giving me a wealth of documentation. Mary Jambor was especially solicitous of my needs in supplying me with copies of reports, studies, bylaws, and much else. A double thanks sincerely to them all.

For informed and often lengthy correspondence, for answering my inquiries, or for sending me copies of strategic and other reports, I am happy to acknowledge Rick Barry of Barry Associates; Michael Swift, Head of Michael Swift & Associates, and former Assistant National Archivist of Canada; Carolyn Gray, Senior Archivist, Archives of Ontario, and consultant on the LORD Report on Hamilton; and Sara Hemingway, Masters of Archival Studies student, for her paper on City of Winnipeg records.

I want also to express my appreciation to Tom Nesmith and Sharon Erickson-Nesmith for their warm hospitality in making Winnipeg truly my second home, and Sharon Anne Cook for letting me leave my first home to undertake this study, and much helpful support while it was being written.

TC

Appendix D: The Author

Terry Cook, Ph.D
2138 Hubbard Crescent, Gloucester ON K1J 6L2 CANADA
613-749-3957

Visiting Professor (1998-) in the Master's Programme in Archival Studies, Department of History, University of Manitoba, as well as an archival consultant (with Clio Consulting) and a editor and freelance writer.

Worked at the National Archives of Canada from 1975 to 1998, resigning as director responsible for the appraisal and disposal of records in all media for Government of Canada. Author of several influential National Archives' policies and strategies, including those implemented on regional records, appraisal, sampling, and electronic records.

General Editor of *Archivaria* (1982-84), the national scholarly journal of the Association of Canadian Archivists; Editor of the Canadian Historical Association's *Historical Papers* (1978-82); and Editor of the CHA's Historical Booklets series (1982-94). Member of editorial boards of archival journals in Canada, the United States, and Europe.

Published on six continents in archival and historical fields: many guides, inventories, or thematic studies under the auspices of the National Archives of Canada; and scores of articles on Canadian social and intellectual history, and on archival theory generally, the "total archives" concept, the historical evolution of records relating to the Canadian West and North, archival description and the fonds concept, the history of archives, electronic records, and especially archival appraisal, including a book on appraisal in the International Council of Archives' RAMP series.

Presented workshops and seminars on electronic records, archival ethics, and appraisal across Canada and around the world, including extended invitational tours of Australia (twice) and South Africa (also twice); lectures series in England, Brazil, Maryland, and Portugal; and a plenary address to the ICA quadrennial meeting in Beijing, China.

Fellow of the Society of American Archivists and the Society of Canadian Office Automation Professionals, and recipient of a special Merit Award from the Canadian Historical Association, the W. Kaye Lamb Prize of the Association of Canadian Archivists, and the South African Society of Archivists Prize; as well as a rare merit promotion through the Historical Research Committee of Peers to the highest possible level in the Canadian public service for federal historians and archivists.